

# Reclamation Manual

## Directive and Standard

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<b>Subject:</b>	Serious Incident Reporting and Duty Officer Program
<b>Purpose:</b>	To establish timely serious incident reporting procedures in accordance with Department of the Interior requirements. The process will improve situational awareness and overall emergency preparedness.
<b>Authority:</b>	5 U.S.C. 301, Departmental Regulations; 112 Departmental Manual (DM) 17, Office of Law Enforcement and Security; 112 DM 18, Office Emergency Management; 155 DM 7, Director, Security, Safety and Law Enforcement; 212 DM 17, Director, Office of Law Enforcement and Security; 411 DM 1, Identifying and Managing Museum Property; 446 DM 17, Serious Incident Reporting; 485 DM 7, Incident/Accident Reporting/Serious Accident Investigation; 900 DM 3, Interior Operations Center and Information Management; 910 DM 4, National Oil and Hazardous Substances Contingency Plan.
<b>Approving Official:</b>	Director, Mission Assurance and Protection Organization (MAPO)
<b>Contact:</b>	Emergency Management and Readiness Office (84-52200)

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1. **Introduction.** This Directive and Standard (D&S) establishes a common reporting standard for *serious incidents* (as defined herein) to ensure time-sensitive reporting of important, urgent, or life-threatening situations while providing a common operating picture within the Bureau of Reclamation and to the Department of the Interior's Interior Operations Center, in accordance with Departmental policy. This D&S defines the components and responsibilities for each level of the organization to maintain an effective Duty Officer Program, including functional roles for a Bureau Duty Officer (BDO) and a Regional Duty Officer (RDO) within each region, as well as a structured reporting process.
2. **Applicability.**
  - A. This D&S applies to all Reclamation employees for all serious incidents that impact Reclamation facilities, infrastructure, lands, waterbodies, property, personnel, operations, stature, or the continued performance of essential functions.
  - B. The scope of reporting includes initial incident detection and ongoing situational updates throughout the duration of a serious incident.
  - C. This D&S does not negate or replace any existing programmatic incident reporting requirements and assumes a variety of other reporting requirements (e.g., safety incidents entered into a safety incident database) occur separately (see Paragraph 3. E. of this D&S on concurrent reporting).

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- D. This D&S does not address Suspicious Activity Reporting, the requirements of the “See-N-Say” program, or the responsibilities of the BDO and RDO within those programs (contact the Emergency Management and Readiness Office for more information).
3. **Bureau Duty Officer Program.** Reclamation offices will develop and maintain a collaborative Duty Officer Program according to the program components listed below.
- A. Serious Incident Criteria.** The criteria used in determining whether an incident must be classified as a *serious incident* is contained in Appendix A of this D&S and is based on the complexity or severity of a given situation and the potential impacts to Reclamation-essential functions, employees, infrastructure, reputation, or mission viability. Appendix A organizes the criteria list by category and includes conditional descriptions which require varying degrees of professional judgement.
- B. Duty Officer Designations.** Reclamation will establish and maintain the following functional roles as indicated below.
- (1) **Bureau Duty Officer.** The Chief of the Emergency Management and Readiness Office will designate a BDO coordinator within the Emergency Management and Readiness Office and provide the necessary resources to support the BDO Program. The BDO coordinator will provide a 24/7/365 capability for managing serious incident reporting from all Reclamation offices. The BDO coordinator will assign staff to fill the BDO role as needed, as well as provide the following:
- (a) the appropriate forms and reporting platforms (Serious Incident Reporting [SIR] tool) or electronic forms that may include Departmental form DI-3453 SPOT Report (SPOTREP), DI-3452 Situation Report (SITREP) (e.g., ICS-DOI-209), or any Reclamation version of these forms,
  - (b) a written BDO program standard operating procedure (SOP) and training for BDO staff and adequate equipment to monitor, coordinate, and distribute serious incident reports and information,
  - (c) the systems and tools required to implement the program, as well as a dedicated monitored BDO email account and phone number, as follows:
    - (i) BDO 24/7/365 email: **bdo@usbr.gov**, and
    - (ii) BDO 24/7/365 phone: **303-445-3601**, and
  - (d) support and training as needed to regions and offices to promote successful program operations and management.

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- (2) **Regional Duty Officer.** Regional directors will provide the necessary resources to ensure a regional program capable of 24/7/365 receiving, validation, and reporting serious incidents. Resourcing will include designating an RDO coordinator within the region while ensuring that staff are assigned to fill the RDO role, and other resources are made available as necessary to ensure an effective RDO program. The RDO coordinator will ensure the following:
    - (a) written RDO procedures (e.g., SOP) and adequate training and support to assigned RDOs and other personnel as needed to ensure successful program implementation,
    - (b) the systems and tools required to implement the program, as well as a dedicated RDO email account and phone number for coordination of serious incident reporting in the region, and
    - (c) support and training as needed to field/area offices to promote successful program operations and management.
  - (3) **Reclamation Information Coordination Center.** The Emergency Management and Readiness Office will activate the Reclamation Information Coordination Center (RICC) to support coordination of serious incidents when needed. If the RICC is activated for a given incident, the RICC will notify the affected region's Emergency Management Coordinator and the BDO of the RICC activation and level of activation. Regions will continue to utilize the SIR tool and established process to send SPOT Reports (SPOTREPs) or Situation Report (SITREPs) on a daily basis, or as otherwise directed by the BDO, throughout the incident. All other communication and coordination regarding the incident will be requested/coordinated through the RICC (e.g., request for information, resource ordering, etc.).
- C. **Reporting Process.** Offices as described below will conduct report serious incidents (see also Appendix B–Reporting Process Diagram):
- (1) **All Employees.** Reclamation staff will report serious and potentially serious incidents immediately, or as soon as safe to do so, after identifying an incident, in accordance with reporting practices established by their respective office.
  - (2) **Field/Area/Power/Regional Offices.** Field, area, power office managers, and regional offices will provide adequate staff, training, and resources to properly classify initial incident detection at Reclamation facilities and immediately notify the respective RDO in accordance with this D&S and regional/office protocol. In addition, office managers must:

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- (a) ensure that existing incident response documents (e.g., Emergency Action Plans) include reporting procedures (e.g., Emergency Action Plan internal notification chart) in accordance with this D&S,
  - (b) ensure all staff receive regular (e.g., annual basis) training on incident reporting protocol and systems per office/facility-specific incident reporting procedures, and
  - (c) submit serious incidents reports to the respective RDO as soon as practical or no later than 6 hours after the onset of an incident, and provide ongoing updates on a daily basis or as otherwise directed by the RDO.
- (3) **Regional Offices.** RDOs will report all serious incidents to the BDO as defined below.
- (a) RDOs will submit initial reports (SPOTREPs) to the BDO via the SIR Tool as soon as practical or no later than 8 hours after the onset of an incident.
  - (b) RDOs must use phone communications ensure timeliness of situational awareness for life-threatening situations or other severe time-sensitive emergencies prior to distribution of written reports (as soon as it is safe to do so).
  - (c) RDOs will submit ongoing reports (SITREPs) to the BDO via the SIR Tool on a daily basis or as otherwise directed by the BDO.
  - (d) Regions will not send incident reports directly to the Department.
- (4) **Denver and Washington Offices.** The Denver and Washington offices will establish reporting procedures to ensure the appropriate staff report all serious incidents to the BDO no later than 8 hours after the onset of an incident, or as soon as possible. Situational updates will follow on a daily basis thereafter or as otherwise directed by the BDO. Unless otherwise directed, Denver and Washington managers will report serious incidents (as defined by this D&S) directly to the BDO.
- (5) **Bureau Duty Officer.** The BDO will manage receipt of all Reclamation reports of serious incidents, review, finalize, and further distribute reports to select Reclamation personnel or offices, the reporting RDO, and the Interior Operations Center when appropriate.
- D. Emergency Communications Systems.** All Reclamation offices must maintain a capability for secondary communications during emergencies or disasters.

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**E. Concurrent Reporting.** Reclamation expects concurrent reporting as described below.

- (1) This D&S does not preclude reporting of a given incident via other reporting channels, procedures, or timelines, as required by statute, regulation, policy, or as established under other programs (e.g., reporting of power issues, hazardous materials spills, law enforcement incidents), wherein reporting sources, destinations, and timelines may vary.
- (2) Reporting of serious incidents per this D&S does not replace normal chain-of-command reporting among supervisors, managers, and the Reclamation Leadership Team.
- (3) Prioritizing reports among concurrent channels/methods will be made on a case-by-case basis or as a matter of standard practice when established by each manager or executive for that organizational level (e.g., facility, field, area, power, regional office).

#### 4. Definitions.

- A. Essential Functions.** Functions that enable the Federal Government to provide vital services, exercise civil authority, save lives, protect the health and safety of the public and employees, and sustain the industrial/economic base in an emergency.
- B. Incident.** Any unexpected situation or condition that creates an elevated risk of damage to human life, the environment, infrastructure, essential functions, or normal operations, and where a response is needed to investigate and intervene for the protection of resources and mission sustainability.
- C. Serious Incident.** Any incident of adequate severity or complexity that warrants urgent situational awareness at all levels of an agency. This is an urgent situation that has a substantial and immediate impact on employees, infrastructure, functions, operations, property, reputation, agency mission, the Department, another Federal agency, or the public; or would result in far-reaching media, public awareness or legal consequences; or may require involvement from program managers or leadership (See specific incident reporting criteria in Appendix A.).
- D. Situation Report (SITREP).** Any subsequent incident report update(s) to a SPOTREP entered into the SIR Tool or electronic forms and transmitted to the BDO. SITREPs will follow daily or as directed by the RDO or the BDO. SITREPs will continue until the incident has concluded.
- E. Situational Awareness.** Situational awareness is the ability to identify, process, and comprehend the critical information about an incident, requiring continuous monitoring of relevant sources of information regarding actual incidents and developing hazards.

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- F. SPOT Report (SPOTREP).** The initial report of an incident entered into the SIR Tool or electronic forms, transmitted to the BDO, and determined to meet the definition of a serious incident (see paragraph 4.C.). The BDO will only disseminate SPOTREPs that they approve to authorized persons, offices, and the Department. Reclamation requires coordination with the BDO prior to sharing SPOTREPs with Department bureaus or external agencies.
5. **Review Period.** The originating office will review this release every 2 years.

## RECLAMATION MANUAL TRANSMITTAL SHEET

Effective Date: \_\_\_\_\_

Release No. \_\_\_\_\_

Ensure all employees needing this information are provided a copy of this release.

### Reclamation Manual Release Number and Subject

### Summary of Changes

NOTE: This Reclamation Manual release applies to all Reclamation employees. When an exclusive bargaining unit exists, changes to this release may be subject to the provisions of collective bargaining agreements.

### Filing instructions

Remove Sheets

Insert Sheets

All Reclamation Manual releases are available at <http://www.usbr.gov/recman/>

Filed by: \_\_\_\_\_

Date: \_\_\_\_\_