

Department of Veterans Affairs  
Washington, DC 20420

VA Directive 0321  
Transmittal Sheet  
June 6, 2012

### SERIOUS INCIDENT REPORTS

1. **REASON FOR ISSUE:** To revise specific Department policy for Serious Incident Reports (SIRs).
2. **SUMMARY OF CONTENTS/MAJOR CHANGES:** Added section for References (38 C.F.R.).
3. **RESPONSIBLE OFFICE:** The Office of Operations, Security and Preparedness (007), Office of Emergency Management (07A) is responsible for the contents of this Directive.
4. **RELATED HANDBOOK:** VA Handbook 0321 Serious Incident Reports
5. **RESCISSION:** VA Directive 0321 Serious Incident Reports, January 25, 2010

**CERTIFIED BY:**

**BY DIRECTION OF THE  
SECRETARY OF  
VETERANS AFFAIRS:**

/s/  
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Assistant Secretary for  
Information and Technology

/s/  
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## SERIOUS INCIDENT REPORTS

**1. PURPOSE.** To revise established policy for Serious Incident Reports (SIR) in order to facilitate reporting to the Secretary and Senior Leadership certain high-interest incidents, significant events, and critical emerging or sensitive matters occurring throughout VA, including those that are likely to result in National media or Congressional attention.

### **2. POLICY.**

a. This directive requires that Serious Incidents in the VA infrastructure, including incidents that are likely to result in National media or Congressional attention, be reported to the VA Integrated Operations Center (VA IOC) as soon as possible but no later than 2 hours after awareness of the incident.

b. The SIR will inform the Secretary of any reported adverse events or incidents likely to result in National media or Congressional attention. Discussed within the VA Handbook 0321 Serious Incident Reports are the identified procedures and operational requirements implementing this policy.

c. The following are the reportable events and incidents:

(1) Public information regarding the arrest of a VA Employee (police report, public release, etc);

(2) Major disruption to the normal operations of a VA facility;

(3) Deaths on VA property due to suspected homicide, suicide, accidents, and/or suspicious deaths;

(4) VA Police involved shootings;

(5) Activation of Occupant Emergency Plans, Facility Disaster Plans and/or Continuity of Operations Plans;

(6) Loss or compromise of VA sensitive data, including classified information;

(7) Theft or loss of VA-controlled firearms or hazardous material, or other major theft or loss;

(8) Terrorist event or credible threat that impacts VA facilities or operations;

(9) Incidents on VA property that result in serious illness or bodily injury to include sexual assault, aggravated assault and child abuse.

d. Nothing in this policy for reporting serious incidents changes existing reporting requirements under 38 C.F.R. 1.200 - 1.204 (Referrals of Information Regarding Criminal Violations) [See References].

e. In the event of an actual or alleged data breach, notify the information security officer, privacy officer, and supervisor, and follow other established procedures as provided by VA Handbooks 6500 "Information Security Program, and 6500.2 "Management of Security and Privacy Incidents."

### **3. RESPONSIBILITIES.**

a. **The Secretary of Veterans Affairs** will ensure the development of policies and procedures for Serious Incident Reports.

b. **Assistant Secretary for Operations, Security, and Preparedness**

(1) Ensures development of coordinated procedures, standardized reports, forms and tools for implementing policy in this Directive in consultation with Under Secretaries, Assistant Secretaries, and Other Key Officials;

(2) Implements and maintains policies and procedures for SIRs;

(3) Informs Administrations, Staff and Program Offices, of SIR submissions;

(4) Ensures the VA IOC receives, tracks, displays, distributes, stores, and proactively collects additional data to produce SIRs for VA senior leadership;

(5) Ensures the VA IOC gathers and analyzes data and develops accurate reports.

c. **Under Secretaries, Assistant Secretaries, and Other Key Officials**

(1) Supports the Office of Operations, Security, and Preparedness in developing procedures for implementing policy in this Directive;

(2) Ensures that all relevant VA employees are aware of and adhere to this policy;

(3) Ensures standard operating procedures are developed in support of VA SIR policies and procedures.

(4) Ensures Field activities comply with SIR policies and procedures.

#### 4. [REFERENCES]

##### 38 C.F.R - Referrals of Information Regarding Criminal Violations

a. 1.200 Purpose. This subpart establishes a duty upon and sets forth the mechanism for VA employees to report information about actual or possible criminal violations to appropriate law enforcement entities.

b. 1.201 Employee's duty to report. All VA employees with knowledge or information about actual or possible violations of criminal law related to VA programs, operations, facilities, contracts, or information technology systems shall immediately report such knowledge or information to their supervisor, any management official, or directly to the Office of Inspector General.

c. 1.203 Information to be reported to VA Police. Information about actual or possible violations of criminal laws related to VA programs, operations, facilities, or involving VA employees, where the violation of criminal law occurs on VA premises, will be reported by VA management officials to the VA police component with responsibility for the VA station or facility in question. If there is no VA police component with jurisdiction over the offense, the information will be reported to Federal, state or local law enforcement officials, as appropriate.

d. 1.204 Information to be reported to the Office of Inspector General. Criminal matters involving felonies will also be immediately referred to the Office of Inspector General, Office of Investigations. VA management officials with information about possible criminal matters involving felonies will ensure and be responsible for prompt referrals to the OIG. Examples of felonies include but are not limited to, theft of Government property over \$1000, false claims, false statements, drug offenses, crimes involving information technology systems and serious crimes against the person, i.e., homicides, armed robbery, rape, aggravated assault and serious physical abuse of a VA patient.