



DoDEA REGULATION 4700.04

SERIOUS INCIDENT REPORTING

Originating Division: Security Management Division

Effective: June 20, 2016

Approved by: Mr. Thomas M. Brady, Director, Department of Defense Education Activity

Purpose: This Regulation:

- Standardizes the Serious Incident Reporting (SIR) process for the Department of Defense Education Activity (DoDEA) educational centers.
- Authorizes the publication of a SIR Procedural Guide with SIR Matrix and SIR Response Instruction.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY.

a. This Regulation applies to the Office of the Director, DoDEA; the Director, Domestic Dependent Elementary and Secondary Schools, and Department of Defense Dependents Schools, Cuba (DDESS/DoDDS-Cuba); the Director, Department of Defense Dependents Schools, Europe (DoDDS-E); the Director, Department of Defense Dependents Schools, Pacific, and Domestic Dependent Elementary and Secondary Schools, Guam (DoDDS-P/DDESS-Guam), (hereafter collectively referred to as “DoDEA Area Directors”); and all DoDEA District Superintendents, School Administrators, Teachers, and Support Staff.

1.2. POLICY. It is DoDEA policy to:

a. Report and document all serious events identified in Figure 1 that have a relationship to DoDEA schools or activities.

b. Communicate to leadership time-sensitive serious incidents involving suspected misconduct in violation of the law, or other sensitive events.

(1) Allow DoD and DoDEA employees, with a valid need to know, access to the SIR database. Access will be limited to the minimum information needed to accomplish their mission in accordance with DoD Regulation 5400.11-R.

(2) Not share information with individuals or outside agencies except as required by routine use or law in accordance with DoD 5400.11-R. Requests for information must be made in accordance with DoD 5400.11-R.

SECTION 2: RESPONSIBILITIES

2.1. DIRECTOR, DODEA. The Director, DoDEA shall delegate authority to Headquarters (HQ) Security Management Division (SMD) to establish a records management system in accordance with DoD Directive (DoDD) 5015.02, and Administrative Instruction (AI) 15.

2.2. CHIEF, SECURITY MANAGEMENT DIVISION (SMD). Under the authority, direction, and control of the Director, the Chief, SMD shall:

- a. Establish a records management system in accordance with reference DoDD 5015.02, and AI 15.
- b. Manage, direct, and operate the SIR process and database.
- c. Produce a SIR Procedural Guide and SIR Response Instruction, and other necessary implementing documents.
- d. Track and develop trends based upon reportable information. Provide guidance as necessary to address concerns or target problems.
- e. Serve as the proponent for this document.

2.3. FORCE PROTECTION OFFICERS (FPO). Under the authority, direction, and control of the Chief, SMD, the FPOs shall:

- a. Monitor the SIR database on a daily basis and inform the District Superintendent on incidents.
- b. Provide program assistance and guidance in problem resolution for DoDEA facilities.
- c. Utilize the SIR procedural guide to complete SIRs.

2.4. DODEA DISTRICT SUPERINTENDENTS. The DoDEA Superintendents shall:

- a. Report misconduct in violation of law, or other incidents identified in Figure 1 meeting reporting guidelines.
- b. Monitor any further development until all action is accomplished.
- c. Utilize the SIR procedural guide to complete SIRs.
- d. Follow-up and communicate with leadership on serious incidents that may impact the mission.

2.5. DODEA REPORTING OFFICIAL. The DoDEA Reporting Official at the school, district, and regional level shall:

- a. Report serious incidents in accordance with this regulation.
- b. Utilize the SIR procedural guide to complete SIRs.

SECTION 3: REPORTING

3.1. NOTIFICATIONS. The objective of reporting is to ensure all SMD personnel who have supervision over the affected region receive timely notification and reporting. Notification is used to alert higher levels of the chain of command to time sensitive incidents. Reports are completed upon completion of an incident in compliance with this regulation.

a. The Principal, Assistant Principal, or designee, or if these identified personnel are not available, the next higher official in the chain of command will be the reporting official who is responsible for the notifications.

b. Immediate notification is necessary when the incident is time sensitive, such as one that includes large scale, or massive casualties (such as bomb threats, or events involving an explosive device or firearm), or that involve extreme violence (such as rape, suicide, homicide), or force protection events. Time sensitive notification will be provided by the senior facility leader or his next in line subordinate, or designee (e.g., at the district, the district superintendent or designee, or at the school, the principal, assistant principal, or designee), or if these identified personnel are not available, the next higher official in the chain of command. The concept is for the notification to follow a chain, of up-channel reporting, that reaches the Director, and the HQ SMD.

(1) The reporting official must send an e-mail describing the initial incident, with all available information immediately upon learning of the incident, at a minimum, to the next higher echelon up to the Director and the HQ SMD to provide rapid leadership notifications.

(2) The reporting official must send a follow-up e-mail upon termination of the incident, or when time is available during the incident. For example, "Active Shooter at Hull Elementary School operations has been terminated." Detailed information should be provided in a SIR.

(3) A SIR will be accomplished for time sensitive incidents utilizing the criteria established in this Regulation.

3.2. SERIOUS INCIDENT REPORTING.

a. Serious Incident Reports shall be completed in the SIR database as soon as details are available to complete the report format but no longer than 72 hours (3 calendar days) after the occurrence or identification of the incident with all pertinent information (e.g., who, what, where, how, and when).

b. When incidents occur that require the assistance of outside law enforcement agencies (such as the Federal Protective Service, host nation, etc.) the DoDEA Reporting Official must identify the outside agency and describe the involvement within the SIR.

c. Any incident, which the DoDEA Reporting Official feels may be considered serious or sensitive enough to warrant a detailed report for the record may be reported through SIRs, even if the incident does not fit within the events in Figure 1.

d. If possible, include photographs of weapons, graffiti, drugs & alcohol (to include paraphernalia), and stolen items.

Figure 1. SIR Incidents

Drug & Alcohol Events			
Use of Drugs (excluding Alcohol)	Possession of Drug Paraphernalia	Sale/Distribution of Alcohol	Use of Alcohol
Possession of Drugs (excluding Alcohol)	Sale/Distribution of Drugs (excluding Alcohol)	Possession of Alcohol	Found Drugs or Alcohol
Violation of the Law			
Assault & Battery	Extortion	Larceny	Threatening Statements
Homicide	Kidnapping	Robbery	Other events Against Persons
Sexual Event			
Attempts to Commit Sexual Acts	Non-Consensual Sexual Contact	Rape	
Child Pornography	Non-Contact Sexual Act		
Individual Concerns			
Suicide	Suicide Attempt	Suicide Ideation	Self – Injurious Behavior
Property Events			
Arson	Bus Accidents	Vandalism/Damage to Property	
Burglary/Breaking & Entering	Theft of Government Property	Other Property Damage	
Security Incidents			
Bomb Threat	Possession of Actual Firearm	Destructive/Explosive Devices	Suspicious Package
Possession of a Knife	Force Protection Issues	Possession of other type weapon	Trespassing

GLOSSARY

G.1. ACRONYMS.

AI	Administrative Instruction
DDESS	Domestic Dependent Elementary and Secondary Schools
DoDD	Department of Defense Directive
DoDDS-E	Department of Defense Dependent Schools, Europe
DoDDS-P	Department of Defense Dependent Schools, Pacific
DoDEA	Department of Defense Education Activity
FPCON	Force Protection Condition
FPO	Force Protection Officer
HQ	Headquarters
SIR	Serious Incident Report
SMD	Security Management Division

G.2. DEFINITIONS.

Facility Leader. The highest ranking Federal employee assigned to a facility.

force protection event. An event causing a change in the Force Protection Condition (FPCON) at an individual or specific location. This does not include an FPCON change directed by the Combatant Command.

Reporting Official. A facility leader, designated official, school principal, assistant principal, administrative officer, or other district or regional DoDEA employee reporting a serious incident.

sensitive events. Activity involving events identified in Figure 1, excluding serious incidents, drug and alcohol events, and security incidents.

Serious Incident. Alleged or suspected misconduct thought to violate law, rule or regulation, including events identified in Enclosure 1.

time sensitive. Reporting that includes large scale, or massive casualty incidents, rape, suicide, and misconduct and security incidents identified in Figure 1.

REFERENCES

AI 15, "OSD Records and Information Management Program," May 3, 2012
DoD Directive 5015.02, "DoD Records Management Program," March 6, 2000
DoD 5400.11-R, Department of Defense Privacy Program, May 14, 2007



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ACTION MEMO

FOR: DIRECTOR, DEPARTMENT OF DEFENSE EDUCATION ACTIVITY

FROM: Robert M. Brady, Associate Director for Financial and Business Operations

RB 5/18/2016

SUBJECT: Department of Defense Education Activity Regulation, "Serious Incident Reporting"

- To obtain your approval to publish the new Department of Defense Education Activity (DoDEA) Regulation 4700.04, "Serious Incident Reporting (SIR)" at TAB A.
- In accordance with the DoD Directive 5015.02, "DoD Records Management Program," this Regulation:
 - Standardizes SIR process for DoDEA educational facilities.
 - Establishes a records management system used to track and maintain serious incident reports.
 - Allows DoD and DoDEA employees, with a valid need to know, access to the SIR database while limiting access to the minimum information needed to accomplish their mission in accordance with DoD Regulation 5400.11-R, "Department of Defense Privacy Program."

RECOMMENDATION: ~~That you~~ initial below approving the publication of the Regulation at TAB A.

APPROVE *T* DISAPPROVE _____ OTHER _____

COORDINATION: TAB B

Brady *6/20/16*

Attachments:
As stated

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