



UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES

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Office of the President
PPM-007-2016
September 29, 2016

SUBJECT: President Critical Information Requirement (PCIR) Reporting Procedures

Reference: See Enclosure 1

1. Purpose: To publish policies and instructions for reporting events at the Uniformed Services University (USU) in order to ensure the timely and effective sharing of information within the institution.

2. Applicability: This memorandum applies to all USU community members, to include but not limited to: assigned or attached service members, federal civilians, contractors (when required by the terms of the applicable contract), and other community members/individuals assigned temporarily to USU to include remote locations.

3. Policy:

a. USU Community members shall use the PCIR reporting process to notify the president of situations that may affect mission accomplishment or incidents and/or events of importance to USU leadership.

b. A PCIR will be initially reported via phone and/or email and the reporting process does not supersede keeping your chain of command informed or other reporting requirements such as fire, safety, environment, casualty, criminal, damage assessment, regulatory commission/body, intelligence/counterintelligence incidents or contractor performance reports. The PCIR augments those processes by providing a redundant and systematic reporting system to ensure USU senior leadership and the President remains informed.

c. There are two categories of PCIR events. The assigned category determines the level of reporting, the reporting timeframe, and reporting method. All PCIRs regardless of category when sent to the USU front office and the President will be sent to PCIR@usuhs.edu.

(1) Category 1 – Immediate Reportable Items: Report these events/incidents through the chain of command to the USU front office and the President within 8 hours regardless of the time of day or day of the week. The primary and preferred means for transmitting Category 1 PCIR reports is via telephone and/or email for initial reports and via email only for follow-up or final PCIR reports.

(2) Category 2 – Reportable Items: Report these events/incidents through the chain of command to the Senior Vice President, Vice President, or Special Staff Director within 12 hours and the USU front office and the President, USU within 48 hours. The primary and preferred means for transmitting Category 2 PCIR reports is via email.

4. Responsibilities:

a. Senior Vice Presidents, Vice Presidents, Deans and Special Staff:

1) Develop and maintain a PCIR reporting process utilizing the format located within Enclosure 3. At minimum the PCIR should contain the 5Ws (e.g. who, what, when where, why and how).

2) Assign responsibility for your PCIR reporting process development, implementation, and oversight.

3) Report PCIR requirements IAW this policy memorandum. Provide follow-up reports as needed, normally on a daily basis, listing all significant changes until normal operations/events resume and/or event/issue is resolved or until directed to terminate reporting by the president.

4) Ensure USU community members are aware of PCIR reportable events and actions to be taken.

b. Director of Security:

1) Develop and maintain a security review process for all PCIR requirements.

2) Monitor PCIR reporting and advise of any potential security implications/concerns.

c. External Affairs:

1) Monitor PCIR reporting and advise of any action to be taken in the event of external interest (e.g. United States Congressional interest, media attention, Non-Governmental Organization interest).

2) Develop and maintain a public affairs review process for all PCIR requirements.

5. Effective Date: This PPM shall be effective from the date of signature.



Richard W. Thomas, MD, DDS
President

Enclosure:

1. References
2. PCIR Reportable Events or Incidents
3. PCIR Reporting Format
4. PCIR Message Examples

References

- a) CJCSM 3150.01 Series, "Joint Reporting Structure General Instructions," 22 March 2013
- b) CJCSM 3150.03 Series, "Joint Reporting Structure and Incident Reports," 7 February 2010
- c) SECNAV M-5210.1 Series, "Department of the Navy Records Management Program," 30 May 2012
- d) NAVMC DIR 5210.11 Series, "Marine Corps Record Management Program," 18 April 06
- e) OPNAVINST 3100.6 Series, "Special Incident Reporting," 11 June 2015
- f) Army Regulation (AR) 190-45, "Law Enforcement Reporting," 30 March 2007
- g) Air Force Instruction (AFI) 10-206, "Operational Reporting," 11 March 2015

PCIR Reportable Events or Incidents

Category 1— Immediate Reportable Items: Report these events/incidents to the President, USU within 8 hours regardless of the time of day or day of the week.

1. Death or serious injury/hospitalization of any USU community member.
2. Loss or compromise of classified, controlled, or sensitive material and/or information.
3. Any nuclear or radiological accidents or incidents.
4. Any hazardous material or waste spill.
5. Significant loss or degradation of critical infrastructure, systems, or communications.
6. A change in "Threat Condition", or any event or information which may result in a change of "Threat Condition" (e.g. bomb threat, external criminal activity, force protection level change).

Category 2 — Reportable Items: Report these events/incidents through the chain of command to the Senior Vice President, Vice President, or Special Staff Director within 12 hours and the President, USU within 48 hours.

1. Any suicide gesture by a USU community member.
2. Any incident, arrest, or investigative action of a member of the University which may attract local or national media attention.
3. Potential downgrade or loss of any accreditation status.
4. The destruction, loss, or serious damage of equipment or facilities (>\$100,000).
5. The actual or presumptive diagnosis of any disease of potential epidemic significance or that may require quarantine of a USU community member.
6. Any allegation of hazing, sexual assault or sexual harassment.
7. Any event that may lead to Inspector General and/or Congressional interest/inquiries.
8. Any other external PCIR requirement or any other event/incident of significant USU interest not previously reported.

PCIR Reporting Format

Type of Incident: Insert PCIR event from Enclosure 2 or Plain Language Description if not listed.

Report Type: Initial, Follow-Up, Final

The 5 W's (Who, What, When Where, Why and How): Detailed statement of incident - summarize factual information concerning the incident.

Further Action Being Taken: Detail any further information that is pertinent to the issue/event.

Corrective Action Required/Already Completed: If appropriate; report mitigation/corrective actions taken and/or planned.

Public Affairs Office Notification: If appropriate and include a statement that the cognizant public affairs office (has)/(has not) been notified of this issue/event.

Security Manager Notification: If appropriate and include a statement that the cognizant security manager office (has)/(has not) been notified of this issue/event.

The POC for this matter is: List name, phone and email.

PCIR Updated by: List name, phone and email.

PCIR Updated at: List the time and date of update.

***Note when reporting sexual assault incidents, in the interest of protecting the privacy of any alleged victim(s), use only status (Civilian, military, contractor) to identify the victim facilitating different reporting requirements and chains.

PCIR Message Examples

Example 1 – Initial Report

Type of Incident: Category: 1: Serious Injury and hospitalization of LTC John Smith

Report Type: Initial

Date, Time and Location Where Issue/Event Occurred and Statement of Incident: LTC Smith was riding his motorcycle and was stuck by another vehicle at 1326 on 5 Aug 2016 in Washington DC; he was transported to Georgetown's Emergency Room and is in surgery at this time. Family has been notified.

Personnel Involved: Include the following details for each individual (if known):

(1) Injured Motorcycle: LTC/ O-5 John W. Smith; Active Duty Army works in Special Staff

Further Action Being Taken: Mr. Doe is in contact with his spouse and will provide an update of LTC Smith's condition

Mission Impact: None at this time.

Public Affairs Office Notification: N/A; the cognizant public affairs office has not been notified of this incident.

Security Manager Notification: N/A; the security manager has not been notified of this incident.

The POC for this matter is: Mr. John Doe; 301-295-XXXX; john.doe@usuhs.edu

PCIR Provided by: Capt Jane Doe, jane.doe@usuhs.edu

PCIR Provided at: 5 August 2016 at 1635.

Example 1 – Follow-up Report

Type of Incident: Category: 1: Serious Injury and hospitalization of LTC John Smith

Report Type: Follow-up Report

Date, Time and Location Where Issue/Event Occurred and Statement of Incident: LTC Smith was riding his motorcycle and was stuck by another vehicle at 1326 on 5 Aug 2016 in Washington DC; he was transported to Georgetown; the surgery was successful and LTC Smith has been admitted as an inpatient. The member suffered significant blunt force trauma in the accident resulting in a broken leg and lost spleen. Family is at the hospital. The driver of the

other vehicle remained on scene. LTC Smith was wearing proper protective attire including a helmet.

Personnel Involved: LTC/ O-5 John W. Smith; Active Duty Army works in Special Staff

Further Action Being Taken: Mr. Doe is in contact with LTC Smith's spouse and will continue to provide an updates of LTC Smith's condition.

Mission Impact: None at this time.

Public Affairs Office Notification: N/A; the cognizant public affairs office has not been notified of this incident.

Security Manager Notification: N/A; the security manager has not been notified of this incident.

The POC for this matter is: Mr. John Doe at 301-295-XXX; john.doe@usush.edu

PCIR/SIR Updated by: Capt Jane Doe, jane.doe@usuhs.edu

PCIR/SIR Updated at: 6 August 2016 at 1000.

Example 1 – Final Report

Type of Incident: Category: 1: Serious Injury and hospitalization of LTC John Smith

Report Type: Final Report

Date, Time and Location Where Issue/Event Occurred and Statement of Incident: LTC Smith was riding his motorcycle and was stuck by another vehicle at 1326 on 5 Aug 2016 in Washington DC. LTC Smith was wearing proper protective attire. LTC Smith has been discharged from Georgetown and he was transported to Georgetown; the surgery was successful and LTC Smith has been admitted. The member suffered significant blunt force trauma in the accident resulting in a broken leg and lost spleen. Family is at the hospital.

Personnel Involved: LTC/ O-5 John W. Smith; Active Duty Army works in Special Staff

Further Action Being Taken: Mr. Doe is in contact with LTC Smith's spouse and will continue to provide an updates of LTC Smith's condition. Member is expected to be admitted for a few more days and will be placed on convalescent leave upon discharge.

Mission Impact: None at this time.

Public Affairs Office Notification: N/A; the cognizant public affairs office has not been notified of this incident.

Security Manager Notification: N/A; the security manager has not been notified of this incident.

The POC for this matter is: Mr. John Doe at 301-295-XXX; john.doe@usush.edu

PCIR/SIR Updated by: Capt Jane Doe, jane.doe@usuhs.edu

PCIR/SIR Updated at: 7 August 2016 at 1000.

Example 2 – Initial Report

Type of Incident: Category 2: Malfunction of refrigeration units supporting Department X.

Report Type: Initial

Date, Time and Location Where Issue/Event Occurred: USU Building A; Room B000 at 2240 on 2 September 2016.

Statement of Incident: Upon refrigeration unit check the temperature gage was noted to be 15 degrees above the allowable threshold. Chain of Command was notified of the threshold reading.

Personnel Involved: N/A

Further Action Being Taken: Specimens have moved to other refrigeration units. Applicable research personnel have been notified of the refrigeration unit malfunction.

Mission Impact: Unknown at this time.

Public Affairs Office Notification: N/A.

Security Manager Notification: The local security manager has been notified of this event.

The POC for this matter is: Mr. John Doe at 301-295-XXX; john.doe@usush.edu

PCIR/SIR Updated by: Capt Jane Doe, jane.doe@usuhs.edu

PCIR/SIR Updated at: 3 September 15 at 1500

Example 2 – Final Report

Type of Incident: Category 2: Malfunction of refrigeration units supporting Department X.

Report Type: Final

Date, Time and Location Where Issue/Event Occurred: USU Building A; Room 0000 at 2240 on 2 September 2016.

Statement of Incident: Upon refrigeration unit check the temperature gage was noted to be 15 degrees above the allowable threshold. Replacement parts for the refrigeration units are on order; the estimated time to complete required repairs is 1 week.

Personnel Involved: N/A

Mission Impact: Reduction of refrigeration capacity for 7-10 days; alternate refrigeration locations have been identified to applicable USU community members.

Corrective Action Required/Already Completed: Refrigeration readiness were noted to be above threshold beginning at 1400 on 1 September; Notification protocols for refrigeration unit malfunctions are being updated and applicable USU community members will be informed of the notification protocols.

Public Affairs Office Notification: NA.

Security Manager Notification: The local security manager has been notified of this event.

The POC for this matter is: Mr. John Doe at 301-295-XXX; john.doe@usush.edu

PCIR/SIR Updated by: Capt Jane Doe at 301-295-XXXX, jane.doe@usuhs.edu

PCIR/SIR Updated at: 4 September 15 at 1500