

OFFICE OF SECURE TRANSPORTATION

POLICY NUMBER: 1.19A

TITLE: Independent Investigation

EFFECTIVE DATE: 4 August 2006

PURPOSE: Establishes the guidelines for conducting independent investigations, outside the scope of the Office of Secure Transportation (OST) Critique Process.

SCOPE: All Offices, Divisions/Commands and Branches within OST and contractors supporting OST operations.

PROPONENT: Program Office for Independent Oversight (POIO)

Revision Notes: This policy was revised to incorporate responsibilities for corrective actions and root cause analyses, in addition to updating organizational information. This policy supersedes Policy 1.19.

POLICY

1. General

- a. The OST Assistant Deputy Administrator (ADA) or designee will request, as needed, an internal investigation conducted by the POIO and independent of the formal OST Critique Process.
- b. The investigation process is designed to provide an independent assessment of an occurrence within OST.
- c. Resultant reports as outlined by OST management include, but are not limited to: Reviews, Analyses and Recommendations.

2. Responsibilities


- a. The ADA, or designee, shall:
 - (1) Provide adequate personnel and resources to implement the independent internal investigation program.
 - (2) Determine if an investigation should be conducted.
 - (3) Identify the scope of the investigation.
 - (4) Formally charter the investigation.
 - (5) Review the resultant report and make recommendations for any action.
- b. The OST Office Managers, Division/Command Directors, Branch Chiefs, and contractor Program Managers shall:
 - (1) Ensure their staff cooperates and assists with the investigation, as requested.
 - (2) Provide information or documentation requested by the investigation team.
 - (3) Develop root cause analyses and corrective action plans as needed.
- c. The Director, POIO shall:
 - (1) Appoint an investigation team and team leader.
 - (2) Ensure the investigation team members have received applicable training in the conduct of investigations.
 - (3) Ensure the investigation is conducted in a timely manner.
 - (4) Review the investigation report.
 - (5) Provide direction to the investigation team if additional research is warranted.

- (6) Submit the report to the ADA.
 - (7) Track corrective actions for any recommendations made as a result of the investigation.
- d. The investigation team shall:
- (1) Review the information provided regarding the incident.
 - (2) Develop an investigation plan.
 - (3) Conduct the investigation as directed.
 - (4) Conduct and document interviews.
 - (5) Gather evidence, e.g., memos, reports, photographs or policy documentation.
 - (6) Prepare a report.
 - (7) Make recommendations as directed.

3. Requirements

- a. The conduct of independent investigations provides the ADA and OST Office Managers the facts surrounding an occurrence. The ADA and OST Office Managers determine any action required as a result of analysis of the results.
- b. The investigation provides only the facts regarding the occurrence. Specific conclusions and/or recommendations will be made by the investigation team only as specifically directed by the ADA.
- c. Investigation results are obtained through documentation review, interviews, assessment of requirements (e.g., DOE/NNSA directives, policies, internal requirements, SOPs, etc.), and physical observation.
- d. Investigation working papers, including notes, interview statements, and reports must be reviewed by a Derivative Classifier in a timely manner. Appropriate protection and control will be provided to classified or sensitive information.
- e. A report is to be prepared and provided to the ADA within ten working days of the completion of the investigation.
- f. If recommendations are presented in the investigation report, corrective action is assigned by the ADA and tracked by POIO per the corrective action process.

OFFICIAL:



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