

OFFICE OF SECURE TRANSPORTATION

POLICY NUMBER: 6.01A

TITLE: Incidents of Security Concern

EFFECTIVE DATE: 27 March 2006

PURPOSE: Set requirements for the timely identification and notification of, response to, inquiry into, reporting of, and closure actions for incidents of security concern.

SCOPE: All Offices, Commands and Divisions of Office of Secure Transportation (OST) and contractors in support of OST operations shall comply with this policy.

PROPONENT: Safety, Security and Emergency Management Division/Security Branch

REFERENCES:

- DOE M 470.4-1, Safeguards and Security Program Planning and Management; Section N, Incidents of Security Concern
- DOE M 470.4-3, Protective Force
- DOE O 221.1 Reporting Fraud, Waste, and Abuse To The Office of Inspector General
- DOE N 221.11 Reporting Fraud, Waste, and Abuse
- SSEMD Procedure 6.01.01, OST Incidents of Security Concern Inquiry Procedure

Revision Notes: Updated manual references. Paragraphs that were copied from the DOE manual were removed. Responsibilities and requirements were clarified and consolidated. This a substantial rewrite of the original policy..

POLICY

1. General Information

- a. The Incidents of Security Concern (referred to as incidents) program is designed to deter, detect, and prevent recurrence of incidents and for the timely identification and notification of, inquiry into, analysis of, and reporting of such incidents.
- b. Incidents are actions, inactions, or events that have occurred that:
 - (1) Pose threats to national security interests and/or critical DOE assets.
 - (2) Create potential serious or dangerous security situations.
 - (3) Potentially endanger the health and safety of the workforce or public (excluding safety-related items).
 - (4) Degrade the effectiveness of the Safeguards and Security (S&S) program or adversely impact the ability of organizations to protect DOE S&S interests.
- c. Inquiries are used to determine the root causes of and individuals responsible for incidents.
- d. All discussions and documents associated with an incident must be classified or controlled.

- e. Exercise caution in reporting potential incidents because the information itself may be classified, i.e. the fact that a compromise has occurred is classified.
- f. Individual(s) responsible for an incident is subject to appropriate administrative actions, including disciplinary measures, retraining, counseling, or other directed actions necessary to reduce the likelihood of recurrence of the incident.
- g. The inquiry official may be a federal or contractor employee.
- h. Any person discovering actual or suspected fraud, waste, or abuse of government resources must report such incident to the Office of Inspector General (IG).

2. Responsibilities

- a. The Assistant Deputy Administrator (ADA) shall approve in writing, the designation of an inquiry official.
- b. OST personnel shall notify the OST Facility Security Officer (FSO) as soon as a potential incident is identified.
- c. The inquiry official shall perform the inquiry in a timely and professional manner.
- d. The OST FSO shall follow all HQ reporting requirements.

3. Requirements

- a. OST personnel who observe, find, or have knowledge or information about a potential incident must immediately report this information. This information must be channeled to the OST FSO. The division director and the security representative of the facility must be informed of the potential security incident.
- b. If the potential incident involves automated information systems, report the incident to the OST Information Security Systems Officer (ISSO), who will in-turn notify the FSO.
- c. Reporting through e-mail or leaving a voice message is not permitted.
- d. If contact cannot be made with the division director or security representative, i.e. after hours, the report will be made to the Transportation and Emergency Control Center (TECC) who will then immediately notify the OST FSO.
- e. OST personnel must ensure evidence associated with the potential incident is not tampered with or destroyed.
- f. OST personnel must make reasonable efforts to safeguard the security interests in an appropriate manner.
- g. Inquiries must be conducted to establish the facts and circumstances surrounding an incident.
- h. Appropriate corrective actions must be taken for each incident of security concern to reduce the likelihood of recurrence of the incident.

OFFICIAL:



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