Defense Health Agency

PROCEDURAL INSTRUCTION

SUBJECT: Director's Critical Information Requirements (DCIR), Situation Report (SITREP)

References: See Enclosure 1.

1. <u>PURPOSE</u>. This Defense Health Agency-Procedural Instruction (DHA-PI), based on the authority of References (a) through (c), and in accordance with the guidance of References (d) through (m), updates responsibilities and provides direction for implementation and establishment of the Defense Health Agency's (DHA) procedures to ensure timely and structured reporting of critical events in order to provide situational awareness and, where applicable, a coordinated response to support the decision cycle of the Director, DHA, and/or subordinate leaders.

2. <u>APPLICABILITY</u>. This DHA-PI applies to all DHA personnel to include: assigned, attached, or detailed Active and Reserve Service members, members of the Commissioned Corps, federal civilians, contractors (when required by the terms of the applicable contract), and other personnel assigned temporary or permanent duties at DHA, to include regional and field activities (remote locations), Markets, and Military Medical Treatment Facilities (MTFs), and Dental Treatment Facilities (DTFs).

3. <u>POLICY IMPLEMENTATION</u>. It is DHA's policy pursuant to References (a) through (m), that Assistant Directors (ADs), Deputy Assistant Directors (DADs), Special Staff, Markets, MTFs, and DTFs use reporting processes outlined in this DHA-PI to notify the Director, DHA and/or subordinate leaders, of specific events that may affect mission accomplishment, incidents, and/or events of importance to DHA Leadership.

Note: The DCIR SITREP reporting process does not supersede other reporting requirements such as fire, safety, environment, casualty, criminal, damage assessment, intelligence/counterintelligence incidents, or contractor performance reports.

4. <u>CANCELLED DOCUMENT</u>. This DHA-PI cancels DHA-Administrative Instruction 066, "Director's Critical Information Requirements and Serious Incident Reporting (SIR) Executive Summaries (SITREPs)," July 21, 2017.

5. <u>RESPONSIBILITIES</u>. See Enclosure 2.

Note: AD/DAD and/or Market Directors are responsible for notifying Assistant Director, Combat Support, immediately upon learning of an event that meets notification criteria listed in Enclosure 5. The DCIR initiator is responsible for notifying AD, Combat Support (CS) DAD Combatant Command Operations Support (DAD-COS) Operations Division on all DCIRs via email at dha.ncr.healthcare-ops.mbx.dhahcoopsoperations@mail.mil. A voice report is required within 2 hours and a digital SITREP is required within 4 hours of the event.

6. <u>PROCEDURES</u>. See Enclosure 4.

7. <u>RELEASABILITY</u>. **Not cleared for public release**. This DHA-PI is available to authorized users from the DHA SharePoint site on the SECURE Internet Protocol Router Network at: https://info.health.mil/cos/admin/pubs/SitePages/Home.aspx.

8. <u>EFFECTIVE DATE</u>. This DHA-PI:

   a. Is effective upon signature.

   b. Will expire 10 years from the date of signature if it has not been reissued or cancelled before this date in accordance with Reference (d).

9. <u>SUMMARY OF CHANGES</u>. Updated responsibilities in Enclosure 2, reporting process in Enclosure 4, and flowcharts in Enclosure 6.

/S/
RONALD J. PLACE
LTG, MC, USA
Director

Enclosures
1. References
2. Responsibilities
3. Situation Report Format and Instructions
4. Procedures
5. Director's Critical Information Requirements Reporting Matrix
6. Director's Critical Information Requirements Notification Flowchart

Glossary

ENCLOSURE 1

REFERENCES

(a)   DoD Directive 5136.01, "Assistant Secretary of Defense for Health Affairs (ASD (HA))," Change 1 incorporated, August 1, 2017
(b)   DoD Directive 5136.13, "Defense Health Agency (DHA)," September 30, 2013.
(c)   DHA-Memorandum, "Delegation of Authority and Assignment of Responsibility for Administration and Management of Selected Military Treatment Facilities for Fiscal Year 2019," October 1, 2018
(d)   DHA-Procedural Instruction 5025.01, "Publication System," August 24, 2018
(e)   Deputy Secretary of Defense Memorandum, "Implementation of Military Health System Governance Reform," March 11, 2013
(f)   Deputy Secretary of Defense Memorandum, "Implementing Congressional Direction for Reform of the Military health System," September 28, 2018
(g)   DoD Instruction 7730.47, Change Transmittal 1, "Defense Incident-Based Reporting System (DIBRS)," June 29, 2018
(h)   DoD Instruction 5400.11, "DoD Privacy and Civil Liberties Programs," January 29, 2019
(i)   DoD 5400.11-2, "Department of Defense Privacy Program," May 14, 2007
(j)   DHA Administrative Instruction 071, "Incident Response Team (IRT) and Breach Response Requirements," September 15, 2015[1]
(k)   Air Force Manual 10-206, Operational Reporting, July 21, 2016
(l)   OPNAV Instruction F3100.6J, Change Transmittal 2, "Special Incident Reporting (OPREP-3 Pinnacle, OPREP-3 Navy Blue, and OPREP-3 Navy) Unit SITREP Procedures," October 4, 2011[2]
(m) U.S. Navy Bureau of Medicine and Surgery Instruction 6220.12C, "Medical Surveillance and Medical Event Reporting," September 27, 2011
(n)   Army Regulation 190-45, "Law Enforcement Reporting," September 27, 2016, as amended
(o)   ASD (HA) Memorandum, "Amplifying Guidance Relating to the Reporting of Sentinel Events and Personally Identifiable Information Breaches to the Office of the Assistant Secretary of Defense (Health Affairs)," February 13, 2012
(p)   United States Code, Title 10, Section 1102
(q)   DHA-Procedural Instruction 6025.17, "Healthcare Resolution, Disclosure, Clinical Conflict Management and Healthcare Provider Resiliency and Support to the Military Health System (MHS)," June 18, 2019

---

[1] This reference can be found at https://info.health.mil/cos/admin/pubs/SitePages/Home.aspx
[2] This reference can be found at https://info.health.mil/hco/phealth/deployment_health/SitePages/Home.aspx

ENCLOSURE 2

RESPONSIBILITIES

1. <u>ADs, DADs, SPECIAL STAFF, DIRECT SUPPORT ORGANIZATIONS, MARKETS DIRECTORS, MTF DIRECTORS, AND DTF DIRECTORS</u>. ADs, DADs, Special Staff, Markets Directors, MTF Directors, and DTF Directors must:

   a. Report DCIR events in accordance with this DHA-PI as outlined in Enclosures 4 and 5.

   b. Include DHA, AD-CS, DAD COS Operations Division on all reported DCIRs.

   c. Ensure personnel are aware of DCIR reportable events and actions to be taken.

   d. Provide updated reports listing all actions or events until resolution of DCIR Source.

2. <u>AD-CS</u>. AD-CS must:

   a. Maintain responsibility of DCIR reporting process.

   b. Publish crisis/incident specific changes/additions to DCIR matrix, when necessary, in order to rapidly support the decision cycle of the Director, DHA, in accordance with reference (d).

3. <u>AD-CS, DAD-COS, Operations Division</u>. AD-CS, DAD-COS, Operations Division must:

   a. Receive all DCIRs from ADs/DADs and Market Directors.

   b. Forward DCIRs to affected internal and external stakeholders as outlined in Enclosures 4 and 5.

   c. Maintain and distribute contact list for internal and external stakeholders,

   d. Forward DCIR to DHA Strategic Communcations (Comms), Office of General Counsel (OGC), and DHA Inspector General (IG), if necessary.

   e. Publish changes to this DHA-PI as required by real world circumstances.

ENCLOSURE 3

SITUATION REPORT FORMAT AND INSTRUCTIONS

1. SITREPs are an event-driven report detailing significant or potential incidents that have an actual or possible negative impact on the mission and require DHA Leadership's attention. DCIR events must be reported in SITREP format. When in doubt, a SITREP is probably warranted.

2. Initial SITREPs serve as a means to immediately notify Director, DHA, ADs/DADs, and Market Directors of an event. It is understood that all the answers to potential questions may not be available. Follow-up and Final SITREPs must provide all necessary information. Final SITREPs are required to close out all Initial SITREPs.

3. Selected Sentinel Events (SEs), such as those that meet the criteria in lines 4, 8 and 10 of the DCIR Reporting Matrix, should be reported via a DCIR SITREP. These SITREPS should provide non-specific SE information (only) and must not include provider and/or patient medical quality information that is protected under Reference (n). Specific information on SEs shall be submitted via the DoD Reportable Event Notification system, which is subject to protection from unauthorized disclosures under Refernces (n) and (o). Unauthorized disclosure of Military Health System (MHS) Medical Quality Assurance Records outside of the Medical Quality Assurance Program is subject to personnel action and potential fines.

Sample: SITREP Format

Type of Incident*: Insert DCIR event from* Enclosure 5 *or Plain Language Description if not listed*

[ ] Initial   [ ] Follow-Up   [ ] Final   [ ] Corrective *Mark appropriate box*

Date/Time Group/Location Event Occurred: *Times need to be in Local Time*

Location Event Occurred:

Date/Time/Group Event Resolved: *Times need to be in Local Time*

Personnel Involved: ***Include Service, Component, Rank/Paygrade, Duty Position, Date of Last Deployment (if applicable), and any other pertinent information about the individuals involved. Note: Do not include Name/personally identifiable information (PII)/protected health information (PHI).***

Statement of Incident: *Detailed statement of incident*

Mission Impact: *Detailed statement of mission impact known at the time of submission and potential future impact*

Corrective Action Required/Taken: *Report mitigation/corrective actions taken or planned*

DHA Headquarters' Assistance Required: *Detail assistance required*

Media Interest: *Yes/No, include local/national media involvement*

Law Enforcement: *Yes/No*

Drug/Alcohol Use: *Yes/No*

Contact Information:

Reporter Information:

Name:

Phone:

E-Mail:

POC for Further Information:

Name:

Phone:

E-Mail:

Note: DO NOT include employee names, PII, or PHI in any reports.

ENCLOSURE 4

PROCEDURES

1. SITREPs

    a. SITREPs are used to report any event deemed significant to the Director, DHA or other appropriate level of leadership, that require rapid notification of an event affecting the operational status of mission.

    b. DCIRs are event-driven and AD/DAD and/or Market Directors are responsible for notifying Director, DHA immediately upon learning of an event that meets notification criteria listed in Enclosure 5.

Note: The DCIR SITREP reporting process does not supersede other reporting requirements such as fire, safety, environment, casualty, criminal, damage assessment, intelligence, counterintelligence incidents, or contractor performance reports. The DCIR augments those processes by providing a redundant and systematic reporting system to ensure DHA Leadership and Support Staff remain informed.

2. DCIR REPORTABLE EVENTS. Enclosure 5, DCIR Reporting Matrix, identifies minimum reporting requirements. They are not intended to be all-encompassing, nor are they intended to preclude leaders from reporting other significant events. Submit a SITREP for any event/incident deemed significant.

    a. Column 1 lists the types of DCIR reportable events.

    b. Columns 2-9 identify the mandatory reporting chain along with the optional reporting requirements.

3. REPORTING PROCESS

    a. DADs/Markets are reponsible for notifying AD-CS DAD-COS Operations Division via voice report within 2 hours of DCIR event notification for all DCIR events identified in Enclosure 5.

    b. DADs/Markets are responsible to provide a SITREP within 4 hours of DCIR event notification for all DCIR events identified in Enclosure 5 via email to AD-CS, DAD COS, Operations Division at dha.ncr.healthcare-ops.mbx.dhahcoopsoperations@mail.mil.

    c. DCIRs falling within categories 1 through 7 of Enclosure 5, report as per the flowchart identified in the Enclosure 6 Figure .

(1) Market generated DCIRs:

(a) DCIRs generated at the Market level are reviewed and approved by the Market Director, then forwarded to AD-CS DAD-COS Operations Division for distribution at dha.ncr.healthcare-ops.mbx.dhahcoopsoperations@mail.mil.

(b) AD-CS DAD-COS Operations Division will send DCIRs to AD-CS and DHA front office for situational awareness once the DCIR is received from the Market.

(c) AD-CS DAD-COS Operations Division will also include the Market Execution Office (MEO) on all DCIRs originating from an MTF/DTF. The MEO will analyze and forward to DAD Healthcare Operations (HCO) and DAD Medical Affairs, if necessary.

(d) AD-CS DAD-COS Operations Division will forward DCIRs to ADs, DADs, OGC, DHA Comms and IG as appropriate.

(2) MTF or DTF generated DCIRs:

(a) DCIRs generated at the MTF or DTF level are sent to the Market Director for review and forwarding to AD-CS DAD-COS Operations Division for distribution at dha.ncr.healthcare-ops.mbx.dhahcoopsoperations@mail.mil.

(b) AD-CS DAD-COS Operations Division will send DCIR to AD-CS and DHA front office for situational awareness once the DCIR is received from the Market.

(c) AD-CS DAD-COS Operations Division will also include the Market Execution Office (MEO) on all DCIRs originating from an MTF/DTF. The MEO will analyze and forward to DAD-HCO and DAD, Medical Affairs if necessary.

(d) AD-CS DAD-COS Operations Division will forward DCIR to ADs, DADs, OGC, DHA Comms and IG as appropriate.

(3) Non-MTF or DTF generated DCIRs:

(a) DCIRs generated at the Non-MTF or DTF level will be sent to the appropriate DAD for review before forwarding to AD-CS DAD-COS Operations Division for distribution at dha.ncr.healthcare-ops.mbx.dhahcoopsoperations@mail.mil.

(b) AD-CS DAD-COS Operations Division will send DCIR to AD-CS and DHA front office for situational awareness once the DCIR is received.

(c) AD-CS DAD-COS Operations Division will also include the appropriate AD, OGC, DHA Communications (Comms) and IG when sending DCIR to AD-CS and the DHA front office if necessary.

d. DCIRs falling within categories 8 through 19 of Enclosure 5, will be reported as per the flowchart identified in the Enclosure 6 Figure.

(1) Market generated DCIRs:

(a) DCIRs generated at the Market level are reviewed and approved by the Market Director, then forward to AD-CS DAD-COS Operations Division for distribution at dha.ncr.healthcare-ops.mbx.dhahcoopsoperations@mail.mil.

(b) AD-CS DAD-COS Operations Division will send DCIR to Market Enterprise Office (MEO) for review.

(c) The MEO will make a decision to either not forward the DCIR or will forward the DCIR to DAD HCO/DAD MA. DAD HCO/DAD MA will make the decision to either not forward the DCIR or forward the DCIR to AD HCA.

(d) AD-CS DAD-COS Operations Division will also include additional ADs, DADs, OGC, DHA Comms and IG if necessary.

(2) MTF or DTF generated DCIRs:

(a) DCIRs generated at the MTF or DTF level will be sent to the Market Director for review and a determination if the DCIR should be forwarded to AD-CS DAD-COS Operations Division for distribution. If the Market determines the DCIR should go forward the DCIR will be forwarded to AD-CS DAD-COS Operations Division at dha.ncr.healthcare-ops.mbx.dhahcoopsoperations@mail.mil.

(b) AD-CS DAD-COS Operations Division will send DCIR to Market Execution Office (MEO) for review.

(c) The MEO will make a decision to either not forward the DCIR or will forward the DCIR to DAD HCO/DAD MA. DAD HCO/DAD MA will make the decision to either not forward the DCIR or forward the DCIR to AD HCA.

(d) AD-CS DAD-COS Operations Division will also include additional ADs, DADs, OGC, DHA Comms and IG if necessary.

(3) Non-MTF or DTF generated DCIRs:

(a) DCIRs generated at the Non-MTF or DTF level will be sent to the appropriate DAD for review before forwarding to AD-CS DAD-COS Operations Division for distribution at dha.ncr.healthcare-ops.mbx.dhahcoopsoperations@mail.mil.

(b) AD-CS DAD-COS Operations Division will send DCIR to AD-CS and DHA front office for situational awareness once the DCIR is received.

(c) AD-CS DAD-COS Operations Division will also include additional ADs, DADs, OGC, DHA Comms and IG if necessary.

ENCLOSURE 5

DIRECTOR'S CRITICAL INFORMATION REQUIREMENTS REPORTING MATRIX

	DCIR Reporting MATRIX (All DCIRs flow through AD-CS, OP&R, Operations Division.)	Director, DHA	DHA Deputy Director	DHA Chief of Staff	AD's (Include All AD's on Distro)	DAD's (Include All DAD's on Distro)	DHA OGC	DHA Strategic Communications	AD-CS DAD-COS Operations Division	Market Director
1	Imminent threats to DHA Facilities / Organizations / Personnel to include Facility closings or interuptions (severe weather). Includes All-Hazards, disasters and terrorist threats/actions.	M	M	M	M	M	O	M	M	M
2	Changes in Force Protection (FPCON), Cyber Protection Condition (CPCON) or Homeland Security Advisory System levels.	M	M	M	M	M	M	M	M	M
3	Bomb threats, external criminal activity or civil disorders that affect mission accomplishment.	M	M	M	M	M	M	M	M	M
4	Any incident causing serious injury, illness or death of any DHA staff member or service member assigned, attached, on temporary duty, operational control, tactical control to DHA Headquarters, Subordinate Units.	M	M	M	M	M	M	M	M	M
5	Death of a sitting member of Congress, Active Duty General Officer/Flag Officer (GO/FO), Sitting Cabinet-level official, or Active Duty Service member while in an MTF.	M	M	M	M	M	O	M	M	M
6	Damage, or loss of accountability of any sensitive items, to include any medical device or medication associated with terrorist activity.	M	M	M	M	M	M	M	M	M
7	Downgrade or loss of Joint Commission Accreditation or the downgrade or loss of any medical education or professional health accreditation or status accreditation under the DHA area of responsibility.	M	M	M	M	M	O	M	M	M

* M = Mandatory   O = Optional
* Notifications will be made 24 hours a day, 7 days a week!
* Ensure notifications are made to DHA Chief of Staff (CoS) prior to any calls to the Director. Also ask, "Sir/Ma'am, will you be notifying the Director, or would you like me to?"
* If you have any doubts, MAKE THE NOTIFICATION!
* The notifications marked optional may be reported to a higher level at the discretion of the leader receiving the report.

	DCIR Reporting MATRIX (All DCIRs flow through AD-CS, DAD COS, Operations Division.)	Director, DHA	DHA Deputy Director	DHA Chief of Staff	AD's (Include All AD's on Distro)	DAD's (Include All DAD's on Distro)	DHA OGC	DHA Strategic Communications	AD-CS DAD-COS Operations Division	Market Director
8	Any event that portrays DHA in a negative manner or generates media interest/inquiries that could result in adverse publicity in the national/local press.	O	O	O	O	M	O	M	M	M
9	Unplanned admission of an active member of Congress, General Office/Flag Officer (GO/FO), Cabinet Level official, Foreign Dignitaries, or other high visibility patients in an MTF.	O	O	O	O	M	O	M	M	M
10	Credible allegations or active fraternization, sexual harassment, hazing, suicide/attempted suicide, and other criminal incident for O-5/E-7 and above	O	O	O	M (AD-M)	O	O	O	M	M
11	Damage, loss or loss of accountability of DHA property, or property under the control of DHA, in the amount of $200,000 or more, DHA equipment in the amount of $50,000 or more when an individual could be held liable.	O	O	O	M	M	M	O	M	M
12	Impending or actual loss of significant operational medical capabilities or events such as a Mass Casualty, MTF Divert (exceeding 24 hours), or severe conditions impacting medical care at an MTF.	O	O	O	M	M	O	M	M	M
13	Significant loss or degradation of critical infrastructure, systems, or communications to include indications of a cyber-attack or attempted intrusion into information systems.	O	O	O	O	M (DAD IO)	O	M	M	M

* M = Mandatory   O = Optional
* Notifications will be made 24 hours a day, 7 days a week!
* Ensure notifications are made to DHA CoS prior to any calls to the Director. Also ask, "Sir/Ma'am, will you be notifying the Director, or would you like me to?"
* If you have any doubts, MAKE THE NOTIFICATION!
* The notifications marked optional may be reported to a higher level at the discretion of the leader receiving the report.
* IO - Information Operations

ENCLOSURE 5

	DCIR Reporting MATRIX (All DCIRs flow through AD-CS, DAD COS, Operations Division.)	Director, DHA	DHA Deputy Director	DHA Chief of Staff	AD's (Include All AD's on Distro)	DAD's (Include All DAD's on Distro)	DHA OGC	DHA Strategic Communications	AD-CS DAD-COS Operations Division	Market Director
14	Critical readiness/sustainment issues: CCMD support issues. Service support issues with adverse effect on the MTF. Production or contract delays/interruptions. Activation of any OPLAN, CONPLAN, etc. by a CCMD requiring DHA support. Any Requests for Support by a CCMD.	O	O	O	M	M	O	O	M	M
15	Initial deployment & final redeployment of DHA personnel to/from a contingency or expeditionary operation.	O	O	O	M (AD-M)	M	O	O	M	M
16	Adverse weather that affects, or may affect, critical operations.	O	O	O	O	M	O	M	M	M
17	Disaster Response / Humanitarian Assistance requests, or potential requests, for support.	O	O	O	M (AD-M)	M	O	M	M	M
18	Any suspected security deviation or Practices Dangerous to Security (PDS), to include COMSEC, OPSEC, INFOSEC, etc.	O	O	O	M (AD-M)	M (DAD A&M)	O	O	M	M
19	Hazardous Materials incidents, including spills, if deemed significant by the respective Commander/Director.	O	O	O	M (AD-M)	M (DAD A&M)	O	O	M	M
20	Other. Items that are not listed above but need to be brought to the attention of DHA leadership	O	O	O	O	M	O	O	M	M

* M = Mandatory   O = Optional

* Notifications will be made 24 hours a day, 7 days a week!

* Ensure notifications are made to DHA CoS prior to any calls to the Director. Also ask, "Sir/Ma'am, will you be notifying the Director, or would you like me to?"

* If you have any doubts, MAKE THE NOTIFICATION!

* The notifications marked optional may be reported to a higher level at the discretion of the leader receiving the report.

* A&M - Administration and Management

* Real world circumstances may require the publishing of changes/additions to this reporting matrix for specific reporting guidance in accordance with Reference (d).

ENCLOSURE 6

DIRECTOR'S CRITICAL INFORMATION REQUIREMENTS REQUEST
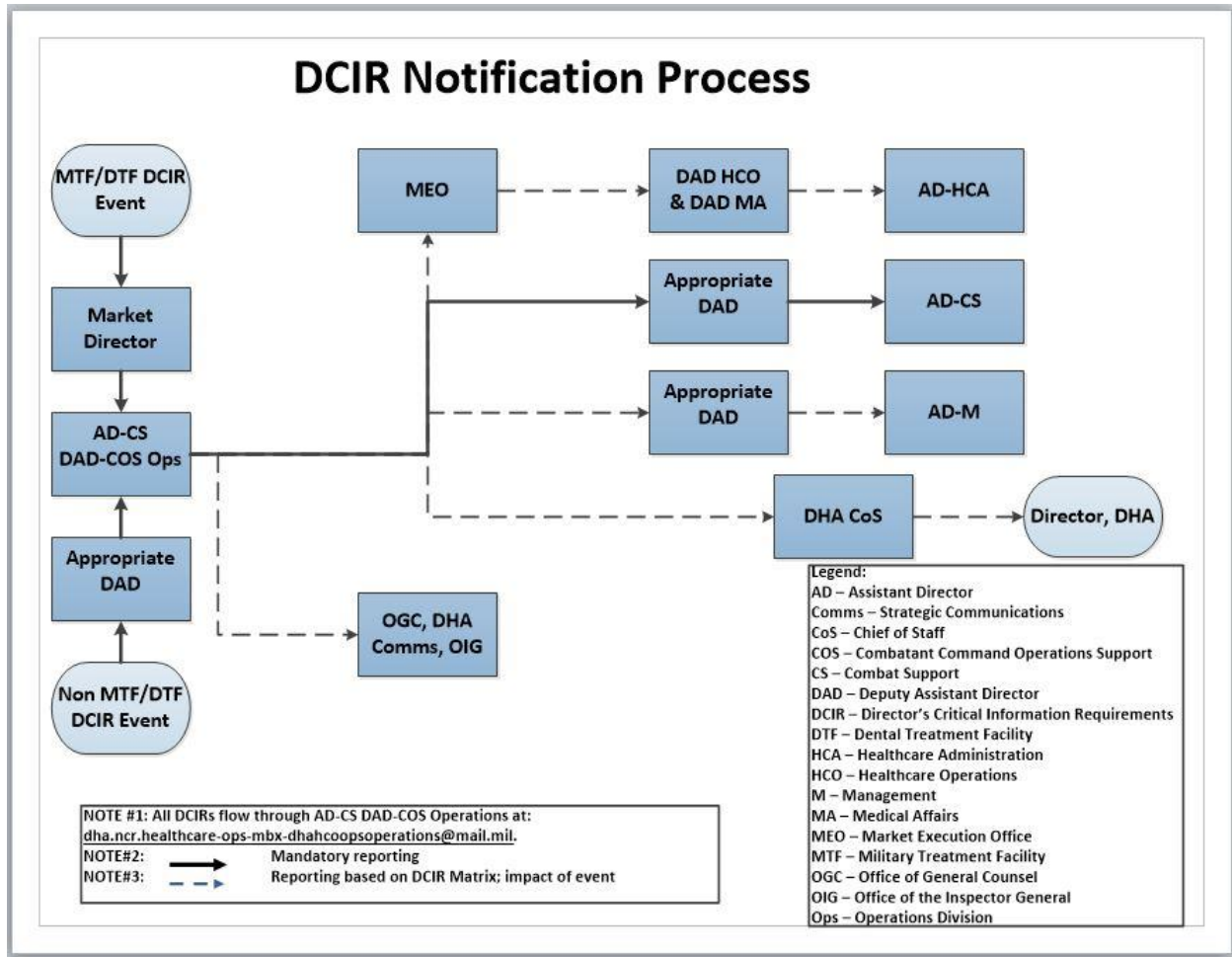MTF/NON-MTF AND DTF/NON-DTF DCIR NOTIFICATION FLOWCHART

DCIR Notification Process

Figure: DCIR Notification Process

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AD	Assistant Director
A&M	Administration and Management
Comms	Communications
CoS	Chief of Staff
COS	Combatant Command Operations Support
CS	Combat Support
DAD	Deputy Assistant Director
DCIR	Director's Critical Information Requirement
DHA	Defense Health Agency
DHA-PI	Defense Health Agency-Procedural Instruction
DTF	Dental Treatment Facility
HCO	Healthcare Operations
IG	Inspector General
IO	Information Operations
MTF	Military Medical Treatment Facility
MEO	Market Execution Office
OGC	Office of General Counsel
PHI	protected health information
PII	personally identifiable information
SITREP	Situation Report

PART II. DEFINITIONS

These terms and their definitions are for the purposes of this DHA-PI.

DCIR. Required information identified by the Director, DHA, as being critical to timely decision making. DCIRs support the Director's, DHA, decision cycle, decision points, and are directly correlated to successful accomplishment of the DHA Mission.

DCIR Duty Officer. Person scheduled to perform duties as outlined in Enclosure 2.

<u>PHI</u>. Individually identifiable health information, held or maintained by a covered entity or its business associates acting for the covered entity that is transmitted or maintained in any form or medium (including the individually identifiable health information of non-U.S. citizens). This includes identifiable demographic and other information relating to the past, present, or future physical or mental health or condition of an individual, or the provision or payment of health care to an individual that is created or received by a health care provider, health plan, employer, or health care clearinghouse. For purposes of the Privacy Rule, genetic information is considered to be health information.

<u>PII</u>. Information which can be used to distinguish or trace and is unique to an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, including any other personal information which is linked or linkable to a specified individual's medical, and financial information, etc.