

**I. Applicability**

All employees, contractors, and workforce members are required to report privacy and security incidents in accordance with this policy. Failure to do so is subject to disciplinary action as outlined in DHS Policy 4002, "Privacy and Security Sanctions," as well as DHS Policy 1084, "Employee Discipline: Conduct/Performance."

**II. Policy**

- (a) All privacy or security incidents must be reported immediately by all DHS employees, contractors, and workforce members by utilizing the DHS Real Time Incident Reporting System located on DHS Share. A privacy or security incident is an occurrence, or suspected occurrence, that affects the confidentiality or integrity of DHS information.
- (b) A privacy or information technology (IT) security incident can be reported on DHS Share, or by using this link:  
<http://kadrl.dhhs.arkgov.net/itsec5/incidentreportform.aspx>
- (c) Examples of privacy or security incidents include, without limitation:
  - (1) Failure to follow any DHS Privacy or Security Policy (1001, 1002, 4000s-5000s);
  - (2) Lost, missing, or stolen DHS electronic devices, (laptops, i-Pads, tablets, cell phones, cameras, flash drives--whether encrypted or not, it must be reported);
  - (3) Lost, missing, or stolen files or documents containing confidential information of DHS clients or employees;
  - (4) Confidential information e-mailed, post mailed, faxed, or otherwise disclosed to the wrong or unauthorized recipient;
  - (5) Failure to e-mail confidential information outside of DHS with "SENSITIVE" in the subject line;
  - (6) Unauthorized access, acquisition, use or disclosure of confidential information (personal information or PHI);
  - (7) Password sharing, any misuse of a DHS computer or electronic device;
  - (8) Unauthorized devices connected to or unauthorized software installed on a DHS Information System;

- (9) Suspected hacking attempts, e-mail hoaxes, phishing scams, social engineering attempts, virus, worm, or “Trojan Horse” activity, web site defacement, exploiting system vulnerabilities, port or network scans or probes;
  - (10) Physical intrusion or attempted intrusions into DHS facilities containing DHS Information Systems or confidential information; or,
  - (11) Any behavior that might threaten the safety or security of DHS Information Systems or confidential information.
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- (d) If it is discovered during the course of an investigation that other employees failed to report a privacy or security incident or violated any other privacy or security policies or procedures, then those employees are subject to disciplinary action as specifically outlined in DHS Policy 4002, “Privacy and Security Sanctions.” DHS Policy 1084 “Employee Discipline” may also be cited for violations.
  - (e) Reporting a privacy or security incident to a supervisor is not sufficient to comply with the reporting requirement. If an employee reports an incident to a supervisor, it becomes both the employee’s and the supervisor’s responsibility to ensure that the incident is immediately reported via the Incident Reporting System. Any questions can be directed to the DHS Privacy Office or IT Security Office.
  - (f) If an employee with the DHS Privacy or IT Security Offices instructs an employee to file a report via the Incident Reporting System and the employee fails to do so, that will be considered a Failure to Report Class II Offense and subject to a Class II Sanction per DHS Policy 4002, “Privacy and Security Sanctions.”
  - (g) All DHS employees are expected to cooperate with the DHS Privacy and IT Security Offices throughout the investigation of an incident. Lying or misrepresenting facts during such an investigation is subject to termination as detailed in DHS Policy 4002, “Privacy and Security Sanctions.”
  - (h) Various divisions and other agencies may be called upon to assist during an investigation. The DHS Privacy Officer or the Chief Information Security Officer (CISO) will make divisional contact through the appropriate divisional executive, supervisor, or designated IT security manager. Division Directors or their designees will assist in determining the appropriate disciplinary action for employees involved in privacy and security incidents, as long as it is consistent with DHS Policy 4002, “Privacy and Security Sanctions.”
  - (i) The IT Security and Privacy Offices will diligently attempt to complete an investigation promptly after receiving an incident report. However, circumstances regarding the incident could lengthen an investigation. The CISO or the DHS Privacy Officer will submit a final report to the employee’s supervisor and Director or designee. The final report will contain a detailed account of the investigation, evidence, findings, and any appropriate sanctions.

### III. Failure to Comply

Violations of this policy may result in disciplinary action as outlined in DHS policies 4002, "DHS Privacy and Security Sanctions," as well as 1084, "Employee Discipline: Conduct/Performance."