

Student Guide

Adverse Information Reporting Short

Introduction

You've seen them in the news:

- Aldrich Ames
- Ana Montes
- Robert Hanssen
- Nidal Hasan
- Bradley Manning

You know the harm they've done:

- Fort Hood Shooting Claims 13 Lives
- WikiLeaks Publishes National Defense Information
- Details of Top Secret NSA Surveillance Program Leaked

But did you know they all displayed signs of adverse behavior before committing their crimes?

- Excessive alcohol consumption
- Untreated mental health problems
- Financial indebtedness
- Unreported foreign travel
- Unauthorized attempts to access sensitive information or systems

And did you know their supervisors and their coworkers were required to report those signs? If they had reported, they may have helped prevent these acts, protecting our nation's security and even saving lives. Do you know about your responsibility to report behaviors of a security concern?

Activity 1

Jerome is a covered employee in your office. He frequently has the smell of alcohol on his breath and recently displayed signs of intoxication in the workplace. Who is responsible for reporting this information?

Select all that apply. Then check your answer in the Answer Key at the end of this Student Guide.

- Jerome must self-report
- Jerome's coworkers
- Jerome's manager or commander
- Security personnel

Who Must Report?

When we witness a coworker displaying behavior that may constitute a security concern, it's easy to tell ourselves that it's none of our business or to believe that someone else, like our manager or security personnel, will report the information. Similarly, when we experience circumstances in our own lives that are of security concern, it's understandable we would be hesitant to report that information for fear we'll endanger our eligibility for access to classified information, or even our jobs.

However, as a covered employee, you as well as your managers, supervisors, commanders, and coworkers, have a responsibility to report behaviors of a security concern, whether you commit them yourself or observe someone else's behavior. Reporting adverse information is essential for preventing damage to our national security and loss of life at the hands of those entrusted with our nation's secrets.

This Student Guide will teach you what you need to know to fulfill your responsibility for adverse information reporting.

Activity 2

You and your coworkers witness another covered employee, Gary, exhibiting bizarre and paranoid behavior. He claims to hear voices and says that people are watching and following him. Should you report this behavior?

Select the best response. Check your answer in the Answer Key at the end of this Student Guide.

- Yes, most bizarre and paranoid behavior must be reported as adverse information.
- No, psychological conditions are an individual's private health information and cannot be reported.

- Yes, but only if Gary is not currently receiving mental health treatment.

What to Report?

What kinds of behaviors or incidents are considered adverse information?

Your coworker exhibiting bizarre and paranoid behavior, your boss experiencing significant unreported financial problems, or someone who appears to be living above their means.

These behaviors or incidents may call into question an individual's ability to protect classified information.

Concerns about someone's allegiance to the United States or potential foreign influence or preference.

These concerns raise questions regarding an individual's loyalty to the U.S.

And finally, criminal or other questionable behavior.

Such behavior raises doubts about an individual's reliability, trustworthiness, and judgment in protecting national security.

These issues and concerns all relate to the 13 national security adjudicative guidelines:

1. Allegiance to the U.S.
2. Foreign Influence
3. Foreign Preference
4. Sexual Behavior
5. Personal Conduct
6. Financial Considerations
7. Alcohol Consumption
8. Drug Involvement and Substance Misuse
9. Psychological Conditions
10. Criminal Conduct
11. Handling Protected Information
12. Outside Activities
13. Use of Information Technology

National security adjudicators use the adjudicative guidelines when rendering a determination for initial or continued eligibility for access to classified information or initial or continued eligibility to hold a sensitive position. But the interest in potential issues does not stop once an adjudicator has rendered a national security eligibility determination.

As a covered employee, you have agreed to report any adverse information or issues of concern, in or out of the workplace that would require the designated security official to prepare an incident report. Specifically, you must report any information regarding your own or others' behavior that is not consistent with, or that violates, the 13 National Security Adjudicative Guidelines.

See the DCSA guide: "Receive and Maintain Your National Security Eligibility"

Activity 3

Marie often reports to work late, her work does not reflect attention to detail, and she does not pull her weight on team projects. Should you report this behavior?

Select the best response. Check your answer in the Answer Key at the end of this Student Guide.

- Yes, her poor performance and frequent tardiness warrants reporting.
- No, most performance and time/attendance issues are not of security concern and should not be reported as adverse information.

What Not to Report?

As important as adverse information reporting is, it is just as important to recognize circumstances that normally do not warrant an incident report, and thus you should not report as adverse information. Examples include HR or time and attendance issues, such as Marie's lateness and poor performance.

Other examples are changes in personal status, such as marriage, cohabitation, or divorce. You are required to report such changes in your own personal status on an SF-86C, but they are NOT considered adverse information and do not require an incident report unless the marriage or cohabitation involves a foreign national.

By only reporting incidents or behaviors directly related to the 13 National Security Adjudicative Guidelines, you save resources because adjudicators will not spend time making unnecessary continued eligibility determinations. In addition, it avoids the possible unnecessary suspension of an employee's access pending the outcome of such a determination.

Activity 4

Dina, a DoD civilian employee with Secret access, was caught attempting to obtain coworker's passwords to her agency's classified network. She resigned and her agency security officer terminated her access to classified information. Do security personnel need to submit an incident report?

Select the best response. Check your answer in the Answer Key at the end of this Student Guide.

- Yes, Dina's eligibility for access to classified information is still current, and she may secure employment elsewhere.
- No, Dina's employer terminated her access to classified information, and she no longer works at the agency, so no further action is required.

When and How to Report?

When adverse information arises, it is important to report it immediately, even if the individual who engaged in the behavior was terminated from her position. Although all covered employees are subject to periodic reinvestigation, do not wait until then to report issues of concern. Years could pass and significant damage could occur before serious issues are adjudicated. Even if an employee no longer has access to classified information or no longer works for the agency or company, report adverse information about that individual to your agency's security personnel or your company's Facility Security Officer.

If security personnel don't record an incident report in the system of record, or report to the proper authority an individual will continue to have security eligibility and may secure employment with another agency or company, where he or she could cause terrible harm.

Reporting adverse information in a timely manner protects national security by allowing the Adjudication Facility to review and adjudicate issues as early as possible to determine whether an individual should remain eligible for access to classified information. Additionally, reporting adverse information can help employees receive the assistance they need, which might prevent a tragedy or harm to national security from occurring.

Be familiar with the adverse information reporting process, so you know when and how to report. If you are responsible for preparing incident reports, see the Incident Report Job Aid at the end of this Student Guide.

Conclusion

You have just examined the requirement for all covered employees to report adverse information. You should now be able to evaluate whether you need to report information or circumstances about a covered employee as adverse information. You should also be able to identify when and how you must report such information.

Responsibilities for reporting

✓ Who **must** report? You, your coworkers, your manager/supervisor/commander

✓ What to report	Concerns related to the 13 national security adjudicative guidelines
✓ When to report	Immediately!
✓ How to report	Report to security personnel, who will prepare an incident report or contact the appropriate authority

Remember, adverse information reporting is an important responsibility. It protects national security and saves lives!

Activities: Answer Key

Activity 1

Jerome is a covered employee in your office. He frequently has the smell of alcohol on his breath and recently displayed signs of intoxication in the workplace. Who is responsible for reporting this information?

- Jerome must self-report
- Jerome's coworkers
- Jerome's manager or commander
- Security personnel

Feedback: All of these individuals are required to report any behavior of a security concern, including Jerome's intoxication in the workplace. Even Jerome himself is responsible to report it.

Activity 2

You and your coworkers witness another covered employee, Gary, exhibiting bizarre and paranoid behavior. He claims to hear voices and says that people are watching and following him. Should you report this behavior?

- Yes, bizarre and paranoid behavior must be reported as adverse information.
- No, psychological conditions are an individual's private health information and cannot be reported.
- Yes, but only if Gary is not currently receiving mental health treatment.

Feedback: When an individual exhibits delusional and paranoid behavior, you need to report the behavior as adverse information.

Activity 3

Marie often reports to work late, her work does not reflect attention to detail, and she does not pull her weight on team projects. Should you report this behavior?

- Yes, her poor performance and frequent tardiness warrants reporting.
- No, most performance and time/attendance issues are not of security concern and should not be reported as adverse information.

Feedback: Although it is important to report issues of security concern, do not report information unrelated to the adjudicative guidelines as adverse information.

Activity 4

Dina, a DoD civilian employee with Secret access, was caught attempting to obtain coworker's passwords to her agency's classified network. She resigned and her agency security officer terminated her access to classified information. Do security personnel need to submit an incident report?

- Yes, Dina's eligibility for Secret access to classified information is still current, and she may secure employment elsewhere.
- No, Dina's employer terminated her access to classified information, and she no longer works at the agency, so no further action is required.

Feedback: The agency security personnel must file an incident report. Although Dina's access to classified information was terminated, she still has Secret eligibility. She may secure employment and access to classified information at another agency or in the private sector.

Job Aid: Incident Report

Adverse Information Reporting



Reporting Adverse Information



Security officers should submit incident reports for personnel with a current national security eligibility determinations, in-process for a national security eligibility, or who have a national security eligibility that could be reinstated.

- Include the “who, what when, where.” Do not include the entire arrest/police blotter report; just state the key facts.



Who?

*who was involved; for example:
subject, law enforcement
agency, court name*



Where?

*where did the incident happen;
for example: city, state*



What?



what is/was the incident





When?

when did the incident occur

- State whether access to classified information has been suspended locally.
- When applicable, state the Military Command's recommendation, especially for final incident reports.
- Send follow-ups every 90 days. If 90 days have passed since the initial report and the final disposition is not yet available, enter the reason why (e.g., subject is still waiting for court hearing or the investigation is still pending).
- Final incident reports must state the disposition (military and civilian); if no punishment is given, it must be stated.
- N/A is not a suitable entry for a final incident report.

Reporting through the system of record	
	The system of record provides the capability to facilitate incident reporting.
	Identify the POC who entered the incident report and list their contact number/e-mail address.

 Sample Incident Description	
<i>Initial</i>	<i>Final</i>
<p>Initial 20190811: Soldier tested positive for illegal drugs during an XXXX Command Urinalysis test on: 20190611 / THC (Marijuana) - 3RD Positive. Commander recommends local suspension of access until final disposition. Submitted by: John Doe, Security Specialist, Intelligence & Security Division, Fort XXXX (555) 555-5555.</p>	<p>Subject was found guilty of DUI-Alcohol in the XXXX District Court, Fourth Judicial District at XXXX, XX on 10 JUL 2019. Sentence was 45 days in custody with 42 days suspended. A fine of \$1500. Two years of probation. A General Officer Memorandum of Reprimand was placed in Subject's OMPF. Administrative reduction to PFC effective 17 AUG 2019. Commander recommends eligibility and access be reinstated. Submitted by: John Doe, Security Specialist, Intelligence & Security Division, Fort XXXX, XX (555) 555-5555. Once complete upload copies of the final disposition, MFR, and administrative reduction into the system of record.</p>

Outcomes
<p> An adjudicator will review the submitted incident report and determine if the item may be closed and a new adjudicative eligibility determination entered, or if a partial investigation is required to provide the adjudicator sufficient information to make an eligibility determination.</p>