

# ***Adverse Information Reporting Short Student Guide***

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## Who Must Report Adverse Information?

[Lisa] Tony! Do you have a second for a quick quiz? I'm prepping for a security review. Conducting interviews of our team helps me to validate their understanding of security requirements.

[Tony] Sure, Lisa, I'm happy to help!

[Lisa] Great! Let me pull up the questions on my computer.

[Lisa] OK, just a few questions for you. Answer to the best of your ability. Ready?

[Tony] Yep!

## Knowledge Check – Reporting Adverse Information

[Lisa] Question 1.

Jerome is a DOD civilian employee with a Secret eligibility. 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 answers in the Answer Key at the end of this Student Guide.*

- ☐ Jerome must self-report
- ☐ Jerome's co-workers
- ☐ Jerome's supervisor or commander
- ☐ The office security professional

## Knowledge Check – Debrief

[Lisa] All of these individuals are required to report any behavior of a potential security concern or that may indicate an individual is in need of assistance, including Jerome's intoxication in the workplace. Even Jerome, himself, must report it.

[Tony] I don't think I would have guessed that Jerome is responsible as well.

## Course Objective

[Narrator]: Do you know about your responsibility to report behaviors of a potential security concern?

Welcome to the Adverse Information Reporting Short. This Short will teach you what you need to know to fulfill your responsibility for adverse information reporting. Take a moment to review the learning objective.

- Determine whether you need to report information or circumstances about yourself or another covered employee as adverse information and when and how to report this information.

## Knowledge Check – Debrief (cont.)

[Narrator] Let's return to Lisa and Tony's discussion.

[Lisa] I know it feels awkward when we witness a co-worker 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.

[Tony] It's easy to forget that you should self-report as well.

[Lisa] I know! When we experience circumstances in our own lives that are a potential 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.

## What Is SEAD 3?

[Narrator] Security Executive Agent Directive 3 (SEAD 3) establishes reporting requirements for all covered individuals who have access to classified information or hold a sensitive position. Covered individuals are those who have eligibility to access classified information or who are in a sensitive position.

Covered individuals incur a special and continuing security obligation to be aware of risks associated with foreign intelligence operations and to recognize and avoid personal behaviors and activities that may adversely impact their continued national security eligibility.

For industry, Industrial Security Letter 2021-02 provides guidance to contractors and covered individuals on the submission of adverse information and the reporting requirements of SEAD 3. Access SEAD 3 in the [Resources](#), as needed.

## Knowledge Check – Adverse Information to Report

[Tony] You got another one for me?

[Lisa] You know I do!

[Lisa] Question 2.

You and your co-workers witness another covered employee, Gary, exhibiting confused 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, confused and paranoid behavior must be reported.
- ☐ 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.

## Knowledge Check – Debrief

[Lisa] When an individual exhibits confused and paranoid behavior, you need to report the behavior as a potential security concern. We would like to get the individual the assistance they need.

[Tony] So, we've talked about signs of intoxication and confused and paranoid behavior, but what other kinds of things are considered adverse information?

[Lisa] There are several categories and examples of behaviors and activities that may be a potential security concern or considered adverse information.

## What Are Examples of Adverse Information That Must Be Reported?

[Narrator] Examples of adverse information that must be reported include your co-worker exhibiting paranoid behavior, your boss experiencing significant financial problems, or someone attempting to gain access to information outside of their need-to-know. These behaviors or incidents may call into question an individual's ability to protect classified information.

Any concerns about someone's allegiance to the United States or potential foreign influence or preference need to be reported. These concerns raise questions regarding an individual's loyalty to the United States.

And finally, criminal or other questionable behavior. Such behavior raises doubts about an individual's reliability, trustworthiness, and judgment in protecting national security.

## What Guidelines Do Adjudicators Use?

[Narrator] Potential security concerns also relate to the 13 National Security Adjudicative Guidelines found in SEAD 4. Adjudicators use the National Security Adjudicative Guidelines to make trust determinations regarding an individual's eligibility to access classified information or their assignment to sensitive duties. But the interest in behaviors and activities does not stop once an adjudicator has made a favorable national security trust determination. Individuals must be continuously vetted. Access SEAD 4 in the [Resources](#), as needed.

## Knowledge Check – Adverse Information Not to Report

[Tony] So, I'm required to report this information?

[Lisa] Yes! You are a covered employee and must report any adverse information or issues of a potential security concern, in or out of the workplace.

[Tony] I'm learning a lot. Can I try another one?

[Lisa] Of course! Question 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 as a potential security concern.
- ☐ No, most performance and time/attendance issues are not a potential security concern and should not be reported as adverse information.

## Knowledge Check – Debrief

[Lisa] Although it's important to report issues of a potential security concern, don't report information unrelated to the National Security Adjudicative Guidelines as adverse information.

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

## What Information Does Not Need to Be Reported?

[Narrator] You should not report changes in personal status such as birth of a child or change in residence. You are required to report such changes in your own personal status to your security professional, but they are generally NOT considered a potential security concern and do not require an incident report unless it involves a foreign national.

Never report rumor or innuendo; only report on factual information. By only reporting incidents or behaviors outlined in SEAD 3, or related to the 13 National Security Adjudicative Guidelines found in SEAD 4, you save resources, and adjudicators will not spend time making unnecessary continued trust determinations. In addition, it avoids the possible unnecessary suspension of an employee's access to classified information pending the outcome of such a determination.

## Knowledge Check – Submitting an Incident Report and When

[Lisa] You got time for one more?

[Tony] Sure!

[Lisa] OK, Question 4.

Dina, a DOD civilian employee with Secret eligibility, was caught attempting to obtain a co-worker's passwords to her agency's Top Secret network. Dina resigned, and her agency security professional terminated her access to classified information. Do security professionals 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 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 action is required.

## Knowledge Check – Debrief

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

## When Should You Report Adverse Information?

[Narrator] When behaviors and activities occur, it is important to report them immediately, even if the individual who engaged in the behavior or activity was terminated from their position. That terminated individual may continue to have national security eligibility and could secure employment with another agency or company where they could cause terrible harm.

Reporting 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.

## Conclusion

[Tony] You know, Lisa, I'm glad we did this. I've been here so long that it's easy to forget the difference reporting can make for our national security.

[Lisa] I agree, Tony. Often, reporting can help employees receive the assistance they need, which might prevent a tragedy or harm to national security from occurring. Thanks for recognizing that!

[Narrator] Congratulations! You have completed the Adverse Information Reporting Short. This Short examined the adverse information reporting requirement for all covered employees. You should now be able to evaluate whether you need to report activities or behavior about yourself or about another covered employee. You should also be able to identify when and how you must report this information.

To access additional information on Adverse Information Reporting, please visit the [Resources](#) to review the Reporting Adverse Information Job Aid, the Receive and Maintain Your National Security Eligibility Job Aid, the Industrial Security Reporting Job Aid, and SEAD 3 and SEAD 4 policies.

If you are responsible for preparing incident reports, select the Incident Report Job Aid, also in the [Resources](#).



## Appendix A: Answer Key

### ***Knowledge Check – Reporting Adverse Information***

Jerome is a DOD civilian employee with a Secret eligibility. 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 (correct response)
- ☒ Jerome's co-workers (correct response)
- ☒ Jerome's supervisor or commander (correct response)
- ☒ The office security professional (correct response)

***Feedback:*** All of these employees must report this information.

### ***Knowledge Check – Adverse Information to Report***

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

- ☒ Yes, confused and paranoid behavior must be reported. (correct response)
- ☐ 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:*** Confused and paranoid behavior must be reported. Please note: If you need to report a behavior, contact your security professional who can guide you on where to access your organization's established reporting procedures.

### ***Knowledge Check – Adverse Information Not to Report***

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 as a potential security concern.
- ☒ No, most performance and time/attendance issues are not a potential security concern and should not be reported as adverse information. (correct response)

***Feedback:*** You do not need to report this as adverse information.

***Knowledge Check – Submitting an Incident Report and When***

Dina, a DOD civilian employee with Secret eligibility, was caught attempting to obtain a co-worker's passwords to her agency's Top Secret network. Dina resigned, and her agency security professional terminated her access to classified information. Do security professionals 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. (correct response)
- ☐ No, Dina's employer terminated her access to classified information, and she no longer works at the agency, so no action is required.

***Feedback:*** Yes, the agency security professional must file an incident report.