 **OPA PERSEREC**

Supervisor Reporting
Leissa Nelson, PhD

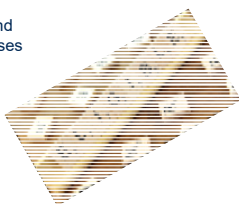
CDSE Webinar

June 14 2018

REPORTING AS A RESPONSIBILITY

• **Federal Personnel Security Policy establishes reporting requirements**

- EO 12968: employees are "encouraged and expected to report any information that raises doubts as to whether another employee's continued eligibility for access is clearly consistent with national security."
- SEAD 3 directs covered individuals to inform agency heads or designees of reportable activities for self and others.



The world is a dangerous place to live; not because of the people who are evil, but because of the people who don't do anything about it. — Albert Einstein

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BARRIERS TO REPORTING

• **Social science research identifies barriers to reporting**

- Socialization and cultural norms: "don't be a tattletale"
- Expectations of peer loyalty: "code of silence"
- Concerns about the outcome: "I don't want my co-worker to lose his job"
- Fears of retaliation

• **Reporting process isn't always well understood**

- What to report.
- Who to report to.
- What will happen once a report is made.



You cannot escape the responsibility of tomorrow by evading it today — Abraham Lincoln

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STRATEGIES FOR OVERCOMING BARRIERS

•Social science research identifies strategies for overcoming barriers

- Create a clearly defined reporting process
- Make the outcomes of the process transparent
- Increase felt responsibility
- Make the process non-punitive
 - Eliminate the risks associated with disclosure
- Emphasize the positive
 - Reporting leads to help for the individual



There are risks and costs to a program of action — but they are far less than the long range cost of comfortable inaction. — John F. Kennedy

POSSIBLE REPORTING PROCESS

•Mandatory periodic reporting by supervisors

- Checklist or inventory
 - For example, lists of behaviors of concern
- Attestations that no behaviors of concern were witnessed
 - Preferably completed in the context of training on reporting requirements



One of the tests of leadership is the ability to recognize a problem before it becomes an emergency. — Arnold Glasgow

EXAMPLE ATTESTATION

I certify the following:		True	False
1.	I am familiar with SEAD 4, National Security Adjudicative Guidelines and I understand my reporting responsibilities per SEAD 3 and DoDM 5200.02.		
	<ul style="list-style-type: none"> ➢ If you selected 'False' for item number 1, please review SEAD 4 and DoDM 5200.02, Section 11 and become familiar with your reporting responsibilities. <ul style="list-style-type: none"> ○ SEAD 4: https://www.dni.gov/files/NCSC/documents/Regulations/ ○ DoDM 5200.02: http://www.esd.whs.mil/DD/DoD-Issuances/ 		
2.	I am unaware of reportable contacts, activities, indicators, or behaviors listed in SEAD 4 for any of my subordinates.		
	<ul style="list-style-type: none"> ➢ If you selected 'False' for item number 2, local security personnel will contact you to discuss your observations. 		
3.	If I become aware of reportable contacts, activities, indicators, or behaviors listed in SEAD 4, I will report them in accordance with policy.		
	<ul style="list-style-type: none"> ➢ If you selected 'False' for item number 3, please explain below why you do not intend to report contacts, activities, indicators, or behaviors listed in SEAD 4 as required. 		

ALTERNATIVE APPROACH

- **Support for supervisors and employees**
 - Place the reporting requirement in the context improving support for supervisor handling behaviors of concern in their employees
 - Supervisors typically do not receive much guidance for handling employee problems or problem employees
 - Attestation form could connect supervisors with resources for supporting employees instead of or in addition to security or investigative resources
- **Challenges**
 - Little source of clearly defined behaviors of concern (i.e., no policy similar to SEAD-4)
 - Little to no regular training exists for these responsibilities

The purpose of human life is to serve, and to show compassion and the will to help others.
— Albert Schweitzer

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