

**CHAPTER 63**  
**SECURITY VETTING POLICY**

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## CHAPTER 63

### SECURITY VETTING POLICY

#### SECTION 1 - PERSONNEL SECURITY VETTING

##### 6301. Introduction

a. Protective security policy<sup>1,2</sup> emphasises the need for a systematic vetting regime to manage the issue and withdrawal of national security clearances and to facilitate effective security risk management. The following Sections outline the principles and procedures that govern security vetting within the Naval Service to enable those personnel employed in security, recruitment and manning roles to manage vetting risks and issues efficiently and effectively.

b. Security vetting does not, on its own, provide a guarantee of an individual's integrity and trustworthiness. Since both individuals and their circumstances change, a security clearance is only as good as the background records and investigations on which it is based at the time the review process is carried out. It is therefore essential that personnel security continues after initial clearance is approved and that any new information or concerns that may affect the reliability of a person are brought promptly to the attention of the Command Chain and Navy Command (NC) Security authorities. This is achieved through a combination of aftercare and security review procedures.

c. Our vetting regime is to be guided by 4 key principles of transparency, proportionality, confidentiality and timeliness. Personnel subject to vetting action that could affect their employability will be fully engaged with the vetting process and have the right to appeal against any decisions. The vetting process is never to be used as an alternative means of dismissing personnel from the Service where other administrative or disciplinary action is more appropriate.

##### 6302. Content

Navy Command security vetting policy outlined in the following Sections provide practical direction to personnel. [Section 2](#) articulates the requirement for security vetting within the Naval Service and explains the key vetting principles. [Section 3](#) details responsibility for the granting of security clearances and residency waivers. [Section 4](#) explains adverse vetting assessment procedures and provides information regarding the membership and workings of the Personnel Security Panel (PSP) and Vetting Aftercare systems. [Section 5](#) details responsibilities and procedures relating to appeals against vetting decisions. Finally, [Section 6](#) specifies the roles and responsibilities of individuals and the Chain of Command in ensuring that vetting procedures are carried out expeditiously and in a way that allows them to enable rather than constrain the delivery of maritime power.

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1. HMGSecurity Policy Framework v8.0.  
2. JSP 440 - The Defence Manual of Security.

**6303. Scope**

The security vetting principles and procedures detailed in this policy instruction apply to regular and reserve personnel serving in the Naval Service, including Reserve Forces and Royal Fleet Auxiliary or as adult staff members of the Sea or Royal Marine Cadet Organisations.

## SECTION 2 - SECURITY VETTING PROCEDURES WITHIN THE NAVAL SERVICE: REQUIREMENTS, RESPONSIBILITIES AND PRINCIPLES

### 6304. Security Vetting – The Naval Service Requirement

a. In recognition of the operational needs of the Naval Service, the technical sophistication of Naval Service platforms and equipment and the unpredictability of future maritime tasks, all Naval Service personnel are security vetted to a minimum of Security Check (SC) level. However, personnel filling certain appointments where there is a need for frequent unsupervised access to Top Secret (TS) information may require a higher level of clearance, specifically Developed Vetting (DV). A further enhanced level of security clearance, informally referred to as “DV Plus” will be introduced in 2014 for some specific and highly sensitive posts, for example related to Defence Intelligence and Nuclear business. SC, DV and DV+ comprise a system of security clearances that contribute to the maintenance of effective personnel security in the Naval Service. The administration and implementation of this system must be governed and enacted in a manner which is robust, transparent, equitable and confidential, and coherent with the processes employed by United Kingdom Security Vetting (UKSV).

b. Security clearances for Naval Service personnel are processed and issued by UKSV in accordance with the procedures detailed in this Chapter. Procedures for the granting of security clearances and waivers relating to nationality and residency are detailed at [Section 3](#).

### 6305. Developed Vetting

a. While the entry-level vetting requirement of SC for the Naval Service can be justified on the basis of operating environment, what is less certain is the justification of the requirement for DV which is considerably more costly and involves a greater degree of discretion in its application. Line Management is responsible for determining<sup>3</sup> and thereafter reviewing the justification for post holders to hold DV, which once approved by Navy PSyA-Pers Sy SO1C, etc, will be added to the competency requirements of the JPA Position ID (PID)<sup>45</sup>. JPA therefore constitutes the NC Developed Vetting Master List (DVML) and will inform NAVSEC/ACOS(PCap) staff when a DV is required for an appointment.

b. However, in the face of ever increasing financial pressure on the DBS-NSV budget there remains an ongoing requirement to rigorously revalidate the justification for posts to require DV at least annually. To this end an interactive NC DVML (extracted periodically from and compared with JPA) is being developed which Line Managers will be required to access and certify correct or amend on JPA to accurately reflect the requirement. Failure to do so may result in the DV Competency requirement being arbitrarily removed from the JPA PID.

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3. Criteria for determining if post requires DV are contained in JSP 440, Part 2, Leaflet 7, Paragraphs 46-52.

4. Establishment Amendment Form (JPA A001) iaw. JSP 755 Chapter 2, Section 2.

5. The majority of RNR personnel are held under generic PIDs which only segregate between Officer and Rating at Organisation level.

**6306. Aftercare**

a. Security vetting on its own does not provide a guarantee of an individual's enduring trustworthiness, integrity and reliability as individual circumstances and behaviours may change over time. It is fundamentally important that personnel security measures continue after a security clearance is granted to allow new information to be collated, analysed and acted upon by the security vetting authorities. The responsibility for raising and sharing this information lies with both the Subject and their line management and is achieved primarily through the Change in Personal Circumstances Questionnaire (CPC), Security Appraisal Form (SAF) and Aftercare Incident Report (AIR) processes. Where a CPC, SAF or AIR bring into doubt the suitability of an individual to hold (or to continue to hold) a security clearance, management procedures may be initiated.

b. Where concerns have been raised, the Subject will be advised accordingly by PSyA Personnel Security (Pers Sy) staff and afforded appropriate opportunity to address the issues. Depending upon the seriousness of the concern, PSyA Pers Sy advice could take the form of an advisory telephone call or letter through to a face-to-face interview coupled with directed written advice. In the event that the advice proffered is ignored consideration will be given to issuing a Formal Security Warning (FSW) dependent upon the nature of the issue. It may also be necessary to initiate appropriate vetting aftercare arrangements. If this level of intervention and monitoring fails to resolve security concerns, it may become necessary for PSyA Pers Sy staff to consider (in consultation with UKSV) the denial, withdrawal or suspension of an individual's security clearance. In such circumstances, 'Presumptions of Unfitness' (POU)<sup>6</sup> to hold security clearance will be identified and the case will be considered by the Personnel Security Panel (PSP). Further information regarding adverse assessment procedures, the PSP and aftercare are provided in [Section 4](#).

**6307. Security Vetting - Personal Responsibility**

Individuals have a responsibility for maintaining the appropriate level of security clearance and failure to fulfil this obligation may have an adverse effect on a subject's role, responsibilities and military operations. The vetting system is not configured to handle frequent and numerous requests for timeline extensions or waivers. Consequently, all Naval Service personnel must ensure that they supply information requested by vetting authorities as honestly and expeditiously as possible, whether their role in the system is as a subject, a line manager/commander or as a referee. It should be noted that failure to comply with a request for further information constitutes a POU to hold security clearance and therefore could result in immediate suspension or withdrawal of an individual's clearances. Additionally, line management and Security Risk Managers must be mindful of the security risk posed by vetting apathy and be prepared to support vetting endeavours, initiatives and where necessary formal security action. More detailed responsibilities can be found at [Section 6](#).

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6. JSP 440, Part 2, Leaflet 7, Paragraph 147 provides examples of concerns, but these are not exhaustive.

### 6308. Principle 1 – Transparency

- a. The effectiveness of security vetting procedures and security clearances depends upon open and honest communication between all individuals and/or organisations involved in the vetting process (subject to the need to maintain vetting confidentiality).
- b. All of the processes<sup>7</sup> associated with security vetting in the Naval Service are open, auditable and transparent and will be enacted in accordance with principles and procedures laid down in this Directive and JSP 440. PSyA Pers Sy/SYVETT staff, and Establishment/Unit Security Officers (E/USOs) can provide further information regarding security clearance and vetting procedures on request.
- c. As explained further in [Section 4](#), those who are subject to Aftercare and/or adverse assessment procedures which could ultimately lead to PSP referral, will be informed in writing and/or at interview how the security vetting system works and the potential ramifications of such action. The only exception will be cases in which it is deemed appropriate to withhold notification to the Subject for national security reasons; this decision rests with Navy PSyA and will be auditable.
- d. Subjects may appeal against a decision to deny or withdraw security clearance. The security vetting system within the Naval Service allows for internal appeal through the Admiralty Board and thereafter, if the PSP decision has been upheld, access to an external appeals process via the Cabinet Office Security Vetting Appeals Panel (SVAP).

### 6309. Principle 2 – Proportionality

Security vetting procedures provide assurances regarding the trustworthiness, integrity and reliability of serving (or potential) Naval Service personnel<sup>8</sup> and also assist security risk management reporting. However, any adverse assessment procedures, PSP referrals/recommendations or aftercare programmes will be applied proportionately to ensure they are legitimate and strictly to a level required to protect sensitive information and critical assets.

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7. This does not include information specific to individuals which remains vetting-in-confidence at all times.

8. HMG's Security Policy Framework (Security Policy No. 3 - Personnel Security).

**6310. Principle 3 – Confidentiality**

a. The principle of vetting confidentiality will be applied in respect of all vetting casework. This principle dictates that vetting information is to be handled in a way that does not normally involve its disclosure outside the security community and that it is treated on a strict need-to-know basis. Occasions will, however, arise where effective security risk management necessitates the release of vetting information outside the appropriate security staffs. Such circumstances will be dealt with by PSyA Pers Sy staff on a case-by-case basis and the need-to-know principle will be strictly enforced in respect of any information that is released, thus maintaining an appropriate balance between confidentiality and security risk management/operational imperatives. Information to which vetting confidentiality applies will only be reported by PSyA Pers Sy staff to the Chain of Command where there is a clear concern that a serious criminal offence (such as espionage) has been committed or there has been compromise to Defence capabilities or operations. In all such cases, the final decision to divulge information lies with Navy PSyA, who must balance the conflicting interests of confidentiality against disclosure on a case-by-case basis. Again, such a decision must be wholly justifiable and auditable, demonstrating that the correct balance has been achieved and that the credibility of the vetting system has not been undermined.

b. Appropriate measures are always to be taken to protect the confidentiality of security vetting information in transit. Vetting files and correspondence are to receive appropriate protective markings and descriptors (minimum of 'OFFICIAL SENSITIVE PERSONAL', with handling Instruction 'Vetting-In-Confidence') and are to be transported or transmitted commensurately. Wherever possible, files and correspondence containing information subject to vetting confidentiality are to be passed by hand. If this is not possible, such material is to be despatched 'Personal For' named addressees only. Copies are not to be retained of material e.g. security questionnaires that have been submitted to the UKSV by anyone other than the individual; these can be accessed by those with a need to know via the National Security Vetting Solution (NSVS) case management system. Similarly casework papers relating to contentious SC cases, all DV cases, and/or Aftercare will be stored in NSVS or retained by the UKSV on NSVS registered security files (or combination of both). Access to these files will be controlled by the Head of UKSV and will be restricted to authorised UKSV personnel, PSyA Pers Sy staff and to members of the PSP where applicable.

**6311. Principle 4 – Timeliness**

Timely interaction and engagement is particularly critical where there is a risk that delays will impinge upon operational capability. Responsibility lies with Subjects, Line Management, ACOS(PCap) Career Managers and Sponsors of applications for national security vetting (predominantly the Navy PSYA SYVETT team) to ensure that unnecessary delays do not occur. Timeliness is also paramount during the appeals process to ensure that vetting decisions are prompt and cases do not become protracted causing undue pressure on both the Subject and the Service.

## SECTION 3 - SECURITY CLEARANCES AND WAIVERS

### 6312. Authority

Personnel holding appointments detailed in this Section are authorised to grant security clearances and waivers in accordance with the direction provided below.

### 6313. Clearances

SC and DV clearances for all Naval Service personnel, regardless of rank, are processed and issued by UKSV on the Service's behalf. For contentious cases (e.g. where there might be Nationality or Residency related concerns, or checks reveal that the Subject has a criminal record), UKSV will refer the case to PSyA Pers Sy staff (predominantly Navy PSyA-Pers Sy SO1) for a decision on whether or not a clearance should be granted and if so what caveats are to be put in place.

### 6314. Waivers

JSP 440 provides specific criteria defining the eligibility of certain groups of individuals to hold a security clearance. Where operational circumstances require, waivers from the eligibility criteria may be granted as follows:

a. **Nationality Waivers.** For entry into the Naval Service a candidate must satisfy one of the nationality criteria<sup>9</sup> laid out in Para 0730.

b. In exceptional circumstances, a waiver of the recruitment eligibility criteria may be granted by the Head Naval People Strategy (Head NPS) (on behalf of the Secretary of State for Defence) to candidates who are Commonwealth citizens or citizens of the Republic of Ireland at the time of their application but were born outside the country of which they are now a citizen or have formerly held a different nationality. The authority for issuing such nationality waivers on recruitment rests with NAVY PERS-CNPS DANDI SO1, however the residency requirements referred to below must also be met.

c. Some Branches/Specialisations are open to British citizens only as all personnel in these Branches/Specialisations are required to be cleared to DV and/or there is a significant likelihood that personnel will require access to STRAP material. Nevertheless, circumstances may arise where non-British nationals serving with the Naval Service will require a security clearance from which they would normally be precluded (e.g. a non-British national recruited on the basis that they met the residency criteria, but subsequently requiring a DV clearance). Waiving the nationality requirements in such circumstances will be considered on a case-by-case basis by Navy PSyA-Pers Sy SO1C to whom UKSV will refer all such cases.

d. **Residency Waivers.** The residency criteria and supporting documentation required for recruits to the Naval Service are detailed at [Annex 63A](#). A residency waiver will also be sought by UKSV where the criteria is not met by serving personnel, e.g. where DV subsequently required. Authority to waive these residency requirements at SC and DV<sup>10</sup> levels rests with Navy PSyA-Pers Sy SO1C.

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9. Asylum Seekers are not eligible for entry into the Naval Service.

10. JSP 440 stipulates a minimum 10 years UK residency required for DV. Waiver will therefore only be considered in exceptional circumstances and is very unlikely to be considered/granted for less than 6 years UK residency.

e. Personnel under the age of 21 or with less than 12 months service. With the exception of recruits aged 18 to 20 years who are applying for entry to a Branch or Specialisation that is block-cleared to DV-level, personnel under the age of 21 or who have less than 12 months service will not normally be eligible to occupy a DV post. All requests for DV clearance for such personnel will be returned to the Sponsor by UKSV. However, if the application for DV clearance does not relate to block cleared specialisations, the request will be returned by UKSV for the Sponsor/Career Manager to justify the need to have the subject DV cleared. Once this justification has been received, UKSV will refer the case to PSyA Pers Sy staff to confirm the validity of the requirement. DV clearances awarded to personnel aged 18 to 20 years employed within a DV block-cleared Branch or Specialisation will be subject to a 3-year review.

### **6315. Initial Clearance on Entry into Service**

There are occasions when an individual will be given an offer of service with an entry in to service date that does not provide sufficient time for the security clearance process to be completed. Where an individual is entering a Branch or Specialisation which requires SC clearance, providing that the individual has submitted a completed security questionnaire and signed Application Form for Service in Her Majesty's Naval Service (AFCO Form 4)<sup>11</sup>, NC PSyA has delegated responsibility to NAVY CNR-AIB TSO (for Officer Entrants), NAVY CNR-OPS RA CA2 (for RN/RM Regular recruits), NAVY MR-HQ AO (for RNR recruits) and NAVY MR-HQ RMR SO2 (for RMR recruits) to temporarily waive the SC requirement to enable recruits to enter Phase One training. As most SC cases are processed within 30 days, this will normally allow sufficient time for individuals to obtain SC clearance before commencement of Phase Two training. Where issues have arisen during the SC process and a subject has not been issued security clearance prior to Phase Two training, the receiving Phase Two training establishment can either refuse to accept the Subject or take them at risk. This protocol is equally applicable to personnel entering a Branch or Trade requiring DV clearance.

### **6316. Reactivating, Transferring and Sharing Clearances**

a. Some individuals joining the Naval Service, either as regular staff or as reservists, may have previously held a valid security clearance. All requests to reactivate a security clearance or to transfer it from another employer are to be submitted to UKSV by the 'new' employer within 12 months from the Service person's last day in the Service. Note: Ex Regulars transferring to or re-entering the Reserves will NOT have any extant security clearance automatically transferred to their new employment.

b. It is also possible for a security clearance to be shared, e.g. a security cleared MOD civilian or defence contractor may also be a member of the reserve forces, in which case his/her existing security clearance can be shared and utilised for both requirements.

c. All requests to reactivate a security clearance, transfer it from or share it with another employer are to be submitted to UKSV on a Transfer Request Form available from the UKSV website.

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11. In signing AFCO Form 4 the applicant is also certifying that they understand and accept the supporting guidance/conditions contained in the accompanying AFCO Form 5, i.e. that they have been permitted entry into service on the condition that if they fail to obtain SC clearance they will be discharged. This is also made clear in the "Potential Entrant – Offer of Entry" letter.

### 6317. Temporary Clearance Action

a. **SC Extensions/Waivers.** Where SC has recently expired, providing a re-application for security clearance has been initiated with NAVY PSYA - SYVETT DBS (MULTIUSER) it may be possible for a temporary extension of the old clearance to be arranged while the new application is being processed by UKSV. Each case will be assessed on merit. Failing this, providing a re-application for security clearance is underway and no security concerns have been identified, Navy PSyA-Pers Sy SO1C is authorised to issue a provisional/temporary SC waiver (Emergency Unsupervised Access (EUA) letter) to enable the applicant to remain in post.

b. **DV Extensions/Waivers.** UKSV will only consider a temporary extension of DV clearance if all of the following criteria are satisfied:

- (1) Previous DV has only recently expired.
- (2) An on-line application for a DV review has been completed by the individual and submitted to NSVS by Sponsor.

c. NAVY PSyA-Pers Sy SO1 C is the sole authority for the granting of Emergency Unsupervised Access (EUA) (access to TOP SECRET) to Navy Command personnel, and may grant to meet extreme operational requirements, predominantly in overseas theatres of operations, where:

- (1) An on-line application for DV has been completed and accepted by UKSV (NSVS).
- (2) Initial NSVS automated checks highlight no security concerns.
- (3) The receiving unit whose post requires the incumbent to hold DV clearance has completed a Security Risk Estimate (SRE)/Risk Balanced Case (RBC)<sup>12</sup> and implemented appropriate mitigation to reduce security risk to an acceptable level.
- (4) The unit RBC has been reviewed and assured by PSyA staff.

It should be noted that where STRAP access is required EUA is an emergency process only. **Only in the most exceptional circumstances** to meet critical operational needs in theatre, may an individual holding EUA be considered for induction to STRAP. Permission must first be sought from the Corporate STRAPSO<sup>13</sup> in all cases before induction to STRAP can take place.

### 6318. Loan/Local Foreign Service (LFS) Appointments

a. **Summary.** All Service personnel must be volunteers for Loan/Local Foreign Service (LFS) and the footnote addresses current policy<sup>14</sup>, in addition to which reference should be made to Para 5911, Annex 59B, Annex 59B Appendix 1 and Annex 59C.

12. See NC Security Risk Management Framework Document (v5.0).

13. Authoritative guidance for this procedure is contained in MOD STRAP LEAFLET NO 6, Para 7.

14. JSP 468 Pt 1 - Loan and Secondment of Service Personnel to Commonwealth and Foreign Forces.

**b. Loan Foreign Service**

(1) Notwithstanding the fact that each single Service manages the selection of prospective LFS personnel differently, policy dictates that where there are local or cultural sensibilities some LFS posts require married accompanied service whilst others may be designated for unaccompanied service only. In addition some volunteers may not be deemed suitable due to the necessary consideration of factors such as the nationality of the volunteer or a close family member.

(2) Navy PSYA will determine if the LFS Assignment is not tenable at an early stage, however, this may not necessarily occur until award of security clearance review, e.g. information might not come to light until the end of a Security Vetting process. A Security Clearance may be awarded for the Volunteer but this does not necessarily mean that the Volunteer is suitable for the LFS Assignment.

**c. Assigning Principles**

(1) The Assigning Principles for Loan Foreign Service for the RN/RM are contained in Chapter 59. It is essential that before a nomination is made and an Assignment Order approved Navy PSYA (SO3C Aftercare) NAVYPSYA-AFTERCARES03C@mod.uk is consulted at the earliest opportunity to enable suitability from a security perspective to be ascertained. Details required are as follows:

Volunteer Name  
Service Number  
Proposed Assignment Location and JPAN  
Proposed Dates

(2) Early engagement with Navy PSYA will assist in highlighting significant factors which would greatly decrease a volunteer's expectations for an Approved Assignment. Appendix 1 to Annex 59B outlines the reasons for non-recommendation for LFS. This list is not exhaustive. If a Volunteer is deemed unsuitable, the relevant Career Management organisation will be informed by Navy PSYA but not of the reasons why, however, if the Volunteer wishes to know the reason for non-recommendation they are to request this through NAVY PSYA-SO3 AFTERCARE. There is no appeals procedure for non-recommendation of LFS.

(3) If Navy PSYA is content for the LFS assignment to proceed, the security clearances required for the appointment will also be assessed and advised (for the whole of the assignment). It should be noted, however, that United Kingdom Security Vetting (UKSV) staff do not travel and it can be costly for personnel to return to UK for Vetting Interviews, potentially causing an un-necessary burden to the new unit.

**6319. International Loan/Exchange Personnel – Security Clearance**

- a. JSP 440 (Part 2, Leaflet 7, Paragraph 173) highlights the key considerations to be taken into account before the establishment of an Exchange, Loan or Embedded post at Defence Establishments, including HM Ships. In particular, appropriate consultation must be undertaken to determine the suitability of permitting foreign nationals in such positions, not only from the aspect of access to UK classified information but also the requirement to prevent access to particularly sensitive areas and to classified information provided to the UK MoD by international partners (i.e. Five Eyes) which must not be accessed by Exchange, Loan or Embedded personnel unless prior written approval of the partner/country owning the information is held.
  
- b. The appointment of an Exchange, Loan or Embedded person should normally be formalised following the negotiation of a Memorandum of Understanding or similar Arrangement which, amongst other aspects, should detail the security clearance requirements for the appointment. Prior to assignment of the Exchange, Loan or Embedded personnel, the relevant Career Manager is to ensure that a Security Clearance certificate for the individual concerned is provided by the individual's parent government department to the MoD host, which for Naval assignments should be forwarded to NAVY PSYA-CI SO2.

**SECTION 4 - ADVERSE ASSESSMENT PROCEDURES, THE PERSONNEL SECURITY  
PANEL AND VETTING AFTERCARE****6320. Managing/Monitoring Potential Security Risk**

Security vetting on its own does not provide a guarantee of an individual's enduring trustworthiness, integrity and reliability as individual circumstances and behaviours may change over time. It is therefore fundamentally important that personnel security measures continue after a security clearance has been granted to allow new information to be collated, analysed and acted upon by the security vetting authorities. The main vehicles for maintaining such oversight between security vetting or, where appropriate, Aftercare reviews are:

- a. Change of Personal Circumstances (CPC) forms.
- b. Security Appraisal Forms (SAF).
- c. Aftercare Incident Reports (AIR).
- d. Financial Questionnaires.

**6321. Security Advice and Formal Security Warnings**

a. Where there are concerns that an individual's<sup>15</sup> behaviour or lifestyle may impact on their suitability to retain a security clearance, UKSV will notify Navy PSyA through PSyA Pers Sy staff. Following further investigation, if UKSV's concerns are justified then PSyA Pers Sy staff will initiate appropriate action which in the majority of cases will result in individuals being notified of the concerns raised. Normally the Subject will already be aware, for example having previously been advised in writing by UKSV of the need for further reviews. However if the concerns were new, the Subject would be informed either by telephone call, letter or face-to-face interview depending upon the seriousness of the matters at issue; this ensures the Subject understands why their behaviour is causing concern and the potential ramifications. Where appropriate, the Subject may be informed that they will be subject to a further aftercare review after a set period of time<sup>16</sup> in order to ensure that appropriate progress is being made. If the reviews indicate that the Subject is not heeding advice then review frequency may be increased or the matter escalated further by PSyA Pers Sy staff. Throughout this advisory process the principles of transparency, proportionality and vetting confidentiality will be rigorously applied.

b. In cases where advisory action fails to lead to an appropriate outcome, or in cases of significant concern, an individual may be issued with a Formal Security Warning (FSW). The issue of a FSW affords an individual a final chance to resolve the concerns of the security authorities in an effort to avoid the need for their case to be referred to the Personnel Security Panel (PSP).

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15. To whom this Directive applies.

16. Time period to be set by NC PSyA Pers Sy staff and usually ranges between 12 and 24 months.

- c. The administration and delivery of advisory calls, interviews and correspondence, including FSW, will vary according with the rank of the Subject as follows:
- (1) For all ranks up to and including Lt Cdr – Navy PSyA-Pers Sy SO1C.
  - (2) For Cdrs – Navy PSyA.
  - (3) For Capts and above ACOS(PCap) via – the PSP (where applicable).
- d. Following the delivery of advisory interviews or FSWs, in providing a Subject with any written correspondence detailing why their behaviour is causing concern and the potential ramifications, PSyA Per Sy staff are to ensure that:
- (1) The letter is to be signed and dated by the individual administering the advisory/FSW interview.
  - (2) The Subject is to also sign and date the letter to acknowledge receipt and that they understand its contents. The signature is normally to be obtained during the interview. If, for whatever reason, that is not possible, the Subject is to return to Navy PSyA-Pers Sy SO1C a signed and dated copy of the letter as soon as practicable after the interview.
- e. In circumstances where the Subject is overseas and can only be notified of security advice or issued with a FSW in writing, the Subject is to return a signed and dated copy of the letter to Navy PSyA-Pers Sy SO1C as soon as possible to acknowledge both receipt and that its contents have been understood.

## **6322. Personnel Security Panel System**

- a. If a Subject fails to resolve security concerns identified to them by means of advisory letter/interview or FSW, or if circumstances arise where the severity is such that there is no requirement or insufficient time to follow the advisory interview/letter, or FSW routes, PSyA Pers Sy staff may refer the case to higher authority for a decision to be made on denial, withdrawal or suspension of security clearance<sup>17</sup> or the instigation of further vetting aftercare action.
- b. When denial, withdrawal or suspension of a security clearance is being considered, Navy PSyA-Pers Sy SO1C will refer the case to the Personnel Security Panel (PSP) and/or the appropriate authority, as detailed at [Annex 63B](#) and [Annex 63C](#). The PSP comprises of 2 co-members: one will be a security specialist (normally Navy PSyA) and the second will be a personnel management expert from the NC Personnel/Career Management staff (normally DACOS CM). This combination of experience and specialisation will allow a balanced assessment to be made of the case, ensuring that the needs of the individual are considered appropriately alongside those of the Naval Service and national security.

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17. JSP 440, Part 2, Leaflet 7, Paragraphs 96-110 outlines factors affecting suitability to hold a security clearance.

c. If a PSP member is unable to conduct their duties due to long-term absence, a suitable replacement is to be identified and co-opted to the Panel. A similar procedure should be adopted in circumstances where a Panel member is ineligible to consider a case because of prior knowledge of it or a personal knowledge of the Subject. In such instances, the replacement Panel member must be of at least OF5 level. All PSP members must declare at the earliest possible opportunity any grounds that will definitely or are likely to render them ineligible to assess a particular case to the PSP Secretariat (Navy PSyA-Pers Sy SO1C) or to their co-member.

d. In normal circumstances, UKSV will provide all of the information relevant to a case to the PSP Secretariat who will compile and submit a synopsis for the PSP's consideration. UKSV may also have made their own recommendations on the action required, with which the PSP Secretariat may or may not agree. In the event that a recommendation is to be made to withdraw or deny a security clearance the PSP secretariat will, in consultation with UKSV staff, identify the reasons affecting suitability to hold security clearance and make a written recommendation to the PSP as to the length of time for which the Subject's clearance should be withdrawn or denied. This recommendation is to be based on the circumstances of each vetting case under review and the Service need. If PSyA Pers Sy staff decide that further information is required in order for a balanced decision to be made on the case, they will task UKSV to carry out additional enquiries in accordance with their established procedures.

### 6323. Denial or Withdrawal

a. When considering a referred case, PSP members must judge whether or not the subject has demonstrated a Presumption of Unfitness (POU)<sup>18</sup> to receive or continue to hold a security clearance. Where PSP members have serious doubts about one or more of the facts upon which a case for the denial or withdrawal of a security clearance is based, they should reject that case. PSP members are to conduct their initial review of the case independently of each other and are then to append their written adjudication to the case file and return it to the PSP Secretariat within 10 working days of receipt.

b. Where the PSP members agree on either accepting or rejecting the PSP Secretariat recommendation, then the PSP Secretariat will immediately initiate the necessary action (i.e. informing the subject of the withdrawal, suspension or retention of their security clearance) through the appropriate<sup>19</sup> authority.

c. Where members of the PSP disagree in their adjudication of a case, the PSP Secretariat will arrange for the panel to convene at the earliest opportunity to discuss the matters at issue. In the event that the PSP subsequently reach agreement, the PSP Secretariat will take the necessary action as outlined above. In the event that the PSP continues to disagree, then the case for denial or withdrawal of a security clearance is to be rejected and (where appropriate) the subject informed accordingly.

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18. A non-exhaustive list is at JSP 440, Part 2, Leaflet 7, paragraphs 96-110.

19. See Annex 63C Para 4.

#### **6324. Operational Impact of Denial and Withdrawal**

In considering all cases which come before them and in making a decision, PSP members must consider the need to balance the operational impact of denying or withdrawing a security clearance against the risk caused by permitting the individual initial or continued access to protectively marked material and assets. In cases where an individual who comes to the attention of a PSP has access to information provided by other Government Departments (e.g. GCHQ), PSP members must take this into account in their deliberations and apply an additional risk weighting when making their decision.

#### **6325. Suspension**

a. The PSP Secretariat is to consider and recommend to Navy PSyA suspension of an individual's security clearance, without prejudice, when:

(1) A recommendation to withdraw that Subject's security clearance is being drafted for consideration by a PSP.

(2) The Subject is being investigated for a serious criminal or disciplinary offence.

(3) The Subject is the subject of administrative action which may lead to discharge.

(4) The Subject is due to be court-martialled.

(5) Subject is believed to be involved in drug abuse.

(6) The Subject denies UKSV the opportunity to assess their suitability to hold a security clearance e.g. by repeatedly failing to provide adequate information about their circumstances.

(7) Other serious circumstances exist which may be considered a POU but which require further enquiries or investigation.

b. The PSP Secretariat is to initiate a review of each suspension of security clearance at intervals not exceeding 3 months. The Subject will normally be advised by the PSP Secretariat through the appropriate<sup>18</sup> authority formally in writing about a suspension of clearance, its justification and the decision authority. In rare cases, however, it might be deemed appropriate to withhold notification to the Subject for national security reasons. Such cases must be referred by the PSP Secretariat to Navy PSyA for a decision and will be subject to audit.

**6326. Subject Notification of PSP Decisions**

When the PSP decides to deny or withdraw an individual's security clearance, a member of the Panel which made the decision is to notify the Subject in an interview and in writing of the PSP decision; the reasons on which it was based; the implications of that decision and the Appeals procedure open to the Subject. PSyA Pers Sy staff are to be present to support the PSP member conducting the interview. Written notification will normally be handed to the Subject at the withdrawal interview which the Subject is to sign, date and return to the PSP Secretariat within 10 working days to indicate that they understand and accept the content.

**6327. Case File Diaries**

If a case is referred to the PSP, the PSP Secretariat is to immediately initiate a Case File Diary and attach this to the Subject's Vetting File as the top enclosure. The Diary should be used to record case progress and provide an auditable record that can be produced independently of the Case File. A template of a Case File Diary is at [Annex 63D](#).

**6328. Vetting Aftercare**

a. In some cases where an individual's professional or personal conduct causes concern in relation to their suitability to obtain or retain a security clearance, PSyA Pers Sy staff may not deem it proportionate to initiate procedures to withdraw, deny or suspend their clearance immediately. Rather, they may choose to place the individuals on the UKSV SC or DV Risk Register, as appropriate, and then manage the security risk posed by the individual. This risk management process is known as "Aftercare"<sup>20</sup>. It may be applied in respect of concerns which arise during the initial vetting process, during vetting reviews, or as a result of the submission of an Aftercare Incident Report (AIR).

b. Individuals for whom aftercare procedures are deemed appropriate will normally undergo additional reviews of their suitability to hold their current level of security clearance. For example, an individual who has been granted SC clearance valid for 10 years, but who has financial problems, may have their financial situation reviewed 18 months after their clearance has been granted. After each review, UKSV will make an assessment of the risk that the individual poses to the Naval Service. UKSV will pass that assessment to PSyA Pers Sy staff for consideration. Such reviews will continue until concerns about the individual have dissipated or they have left the Service. Subjects will normally be advised formally in writing of aftercare measures which apply to them and the rationale. On occasion, however, PSyA Pers Sy staff may deem it appropriate to withhold notification to the Subject for national security or other reasons. The decision to withhold notification rests in all cases with NC PSyA and is subject to audit.

c. Where aftercare does not meet the desired objectives, consideration will be given to initiating the PSP process as described above. However, the majority of individuals subject to aftercare action are removed from the risk management process in due course, having successfully addressed their issues. For some personnel, the Assignment Restriction process outlined below may also be an appropriate risk management mechanism, used to ensure that an individual is not assigned to a post that is incompatible with the risk that they may pose.

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20. JSP 440, Part 6, Section 3, Chapter 1 refers.

### 6329. Assignment Restrictions (AR)

An AR<sup>21</sup> is a referral mechanism to ensure that PSyA Pers Sy staff are consulted before DACOS (CM)'s Career Managers assign individuals with security concerns or where security conflicts of interest could arise. An AR may be recommended by UKSV and/or implemented by PSyA Pers Sy staff by inserting a 'flag' in the individual's 'Assignment Restriction' field on JPA. This flag is only visible to DACOS(CM) and PSyA Pers Sy staff and does not disclose the nature of the restriction. Navy PSyA-Pers Sy SO1C is responsible for setting AR review periods and authorising AR removal where applicable:

a. **AR based on Nationality.** For some assignments, it is imperative that the Subject and close members of their family are solely British nationals<sup>22</sup>. UKSV and PSyA Pers Sy staff are authorised to place an AR<sup>23</sup> on those individuals who do not meet these criteria. Similarly, UKSV will inform Navy PSyA-Pers Sy SO1C about any new recruit holding dual or non-UK nationality where an AR is deemed necessary. UKSV may therefore refer cases to Navy PSyA-Pers Sy SO1C for AR purposes where:

- (1) Spouse or partner is not solely a UK national.
- (2) Siblings and/or surviving parents are not solely UK nationals.
- (3) Subject has distant surviving relatives who are not solely UK nationals.
- (4) Spouse/partners' surviving parents are not solely UK nationals.

b. **AR based on Security Concerns.** Where UKSV staff consider that a potential security issue exists and may warrant AR action, PSyA Pers Sy staff will be contacted and retain authority for imposing an AR. Examples where an AR would be raised include:

- (1) Where police/unit investigative action is ongoing.
- (2) Where the UKSV Vetting Medical Advisor is reviewing medical or psychological problems.
- (3) Where significant financial issues are being reviewed by UKSV.
- (4) Where there are suspected paramilitary, terrorist or subversive connections.
- (5) Where family members reside permanently overseas.
- (6) Where UKSV inquiries are pending to establish whether issues of security concern exist.
- (7) Where Navy PSyA has cause for concern in a security context.

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21. Previously known as a 'STOP Notice' or 'Top Enclosure Card'.

22. The Job Eligibility Matrix at para 0759 of Ch 7 provides an indication of Branch Nationality restrictions Chapter 7.

23. Where an AR is imposed for nationality reasons, a review date of 5 years is generally applied (e.g. to allow for naturalisation).

c. **AR Review.** Navy PSyA is to ensure that reviews of AR are carried out at appropriate intervals to ensure validity. When reviews of individual cases are due, Navy PSyA-Pers Sy SO1C is to liaise with UKSV and ascertain whether the reasons for AR imposition remain valid. Where the AR can be removed, PSyA Pers Sy staff are to ensure that an individual's JPA record and UKSV vetting records are amended accordingly.

## SECTION 5 - PROCEDURES FOR APPEALS AGAINST VETTING DECISIONS

### 6330. Internal Appeal

a. There is no right of appeal against a decision to deny initial SC (or DV) on recruitment, ie. where the applicant not yet in-Service, recommended by UKSV and denied by PSyA-Pers Sy SO1C ([Annex 63B](#) refers). In-Service personnel denied security clearance (SC or DV), however, do have the right to appeal against the decision. In these circumstances the avenue of appeal is through the PSP in the first instance, and if still aggrieved the Admiralty Board.

b. For in-Service security clearances denied or withdrawn by the PSP the Subject will usually be advised of the reasons in person by Navy PSyA, with the decision being confirmed in writing by Navy PSyA Pers Sy Staff (PSP Secretariat) on behalf of the PSP. The decision letter will re-iterate the reasons upon which the decision is based and its implications, and provide an indication of the circumstances and whether or when a re-application for DV clearance would be entertained. (Denial of SC is likely to result in Administrative Discharge since, as a minimum, SC security clearance is mandatory for Naval Service). Should the Subject wish to appeal against denials/withdrawals decided by the PSP, the only internal avenue of appeal is through the Admiralty Board (AB) where two AB members<sup>24</sup> will make a decision on the appeal.

c. For appeals to either PSP and/or the Admiralty Board, Subjects must register their intent to appeal with the PSP Secretariat in writing within 5 working days of receipt of formal notification of withdrawal/denial, and submit their appeal in writing no later than 28 days after the date of the decision letter. If the Subject considers that circumstances justify an extension to that deadline, they are to discuss the situation with the PSP Secretariat as soon as possible, but no later than 5 working days before the expiry of the 28 day deadline.

d. On receipt of an appeal, the PSP Secretariat will undertake any necessary preparatory work before forwarding it, with relevant supporting documentary evidence to either the PSP for initial clearances or CNLS Casework Section who will staff it for the AB. Thereafter, the PSP Secretariat/CNLS should ensure that the PSP/AB adjudicates and responds to the Subject as soon as is reasonably possible, eg. once the CNLS Casework Section has assembled all of the necessary paperwork to prove an auditable trail and as time and availability of AB members permits. During the appeals process the Subject will be provided with appropriate documentation, eg. copies (redacted as required) of all PSyA Pers Sy staff briefing material submitted to the AB, as a matter of course, ie. in accordance with best practice appeals procedure, but the disclosure will not include any legal advice or third party data. The Appellant then has 10 working days to respond to such disclosure unless an extension has been requested and agreed. When considering an appeal, the PSP/AB will follow the same rationale and procedures outlined in [Para 6323](#) and [Para 6324](#) for considering the denial or withdrawal of a security clearance.

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24. Note: 2SL cannot sit on security vetting related AB panels as, in the event of subsequent appeal to the SVAP, the SVAP recommendation will be forwarded to 2SL for consideration.

Under current policy, the AB has the discretion to consider oral representations prior to making their decision, but the opportunity should not be assumed. If the original PSyA-Pers Sy SO1C/ PSP decision is upheld on appeal, the PSP Secretariat /AB will inform the Subject in writing of that decision and the reasons for it.

#### **6331. External Appeals – Procedures for Review by the Security Vetting Appeals Panel**

a. When the internal appeal process has been exhausted, the Subject may appeal to the Cabinet Office Security Vetting Appeals Panel (SVAP). The SVAP is an independent body sponsored by the Intelligence and Security Secretariat (Security Policy Division) of the Cabinet Office. The SVAP exists to provide an independent avenue of appeal for MOD staff and contractors whose security clearance has been denied or withdrawn and to make recommendations to the appropriate TLB Principal Personnel Officer, in the case of the Naval Service 2SL/CNPT. An individual must register their intent to appeal to the SVAP, in writing, within 15 working days of the date of the letter notifying them that the AB has rejected their appeal. Full details regarding procedures for applying to the SVAP will be provided to the Subject by Navy PSyA-Pers Sy SO1C. In short, however, when appealing to the SVAP the Subject must submit an initial letter of appeal which contains relevant background information (including date of birth, Department (i.e. RN), unit, length of service etc) and specify the grounds for the appeal. The SVAP Secretariat may obtain further details of the case, should they be required, through Navy PSyA-Pers Sy SO1C as the designated RN POC.

b. Following receipt of an initial letter of appeal, the SVAP Secretariat will provide additional guidance to the Subject on how they should proceed with their appeal. In brief, the SVAP Secretariat will decide whether the case falls within the remit of the Panel and will then advise the Subject accordingly. Where appropriate, a provisional hearing date will be set and the Subject will be asked to provide a written statement of their case within a deadline set by the SVAP Secretariat. The Naval Service will be invited to respond to the Subject's submission and the latter will be allowed to see the Naval Service's response and to offer further comment should they so wish. Once the SVAP has gathered all required evidence, the Subject and any nominated third party will be invited to attend an informal confidential hearing during which the SVAP will consider the case. Two Naval Service representatives will also attend, normally Navy PSyA and Navy PSyA-Pers Sy SO1C.

c. When the Appeal has been heard, the SVAP will inform the Subject and 2SL/ CNPT of its recommendations by letter. The decision as to whether or not to accept a SVAP recommendation to grant or restore a security clearance rests solely with 2SL/ CNPT. 2SL/CNPT will inform the Subject and the SVAP of this decision in writing within 15 working days of receiving the SVAP recommendations. This decision cannot be appealed further.

**6332. Welfare of the Vetting Subject**

- a. **Assistance to the Subject.** As part of the Appeal process, the Subject will be given the opportunity to nominate a third party to assist them throughout the course of the appeal process. The third party is to be of equivalent rank or above (normally Line Management) and may attend any interviews with the Subject, but in the capacity of observer only. Those assisting the Subject must be Ministry of Defence employees, i.e. either Civil Servants or members of the Armed Forces and must not have any direct interest in the outcome of the appeal or any associated appeal. They may be Trade Union representatives, provided that they are also MoD employees. The appeals process is an internal administrative one and not a court. Consequently those assisting the Subject are not acting in the capacity of a legal representative or as the Subject's advocate; they may not directly address appeal panels or question witnesses and will not be recognised as representatives of the Subject by either AB or SVAP appeal panels or the Secretariats that support them. This does not preclude the Subject from seeking independent legal advice in the preparation of their appeal should they wish to do so, but it will be at their own expense and they should appreciate that such legal representatives will not be permitted to be present at any oral hearing.
  
- b. **SCART.** On initiation of the appeal process Navy PSyA is to inform the RN Sensitive Case Advice Reaction Team (SCART) that there is an ongoing personnel security issue involving the subject which may result in associated welfare issues.

**SECTION 6 - SECURITY VETTING PROCEDURES – INDIVIDUAL AND CHAIN OF  
COMMAND RESPONSIBILITIES****6333. Individual and Chain of Command Responsibilities**

Naval Service personnel must be aware of the following responsibilities to ensure that security vetting procedures are an effective enabler to maritime operations:

a. All personnel are to:

(1) Monitor the status of their own security clearances on JPA<sup>25</sup> to ensure they remain extant, advising NAVY PSYA SYVETT DBS MAILBOX (MULTIUSER) in good time when due for renewal/review.

(2) Respond positively and promptly to any request from UKSV or PSyA Pers Sy staff for supplementary information in support of security vetting e.g. completion of Financial Questionnaires.

(3) Advise UKSV of any significant changes in personal circumstances (such as marriage, divorce, cohabitation with a partner, diagnosis of a long term medical condition, bankruptcy or windfalls) on a Change of Personnel Circumstances Questionnaire (available on UKSV website).

b. It is an annual mandatory requirement for all DV holders to complete Pt A of a Security Appraisal Form (SAF) and submit this to their Line Managers/Reporting Officer for endorsement within 15 working days of the DV holder's Common Reporting Date. For further information, contact Unit Security Staff or PSyA Pers Sy staff.

c. Line managers/reporting officers are to complete and submit Pt B of SAFs received in respect of individuals who are (or have been) subordinate to them within 15 working days of receipt.

d. All personnel (either as subjects or referees) are to make themselves available as quickly as possible for interview by UKSV vetting officers if requested.

e. Commanders at all levels are to release personnel from duty, as required, to attend interviews with UKSV Vetting Officers and/or PSyA Pers Sy staff.

f. Where security concerns arise, Commanders at all levels are to liaise with their Unit Security Staff to instigate Aftercare Incident Report (AIR) action where applicable. Where Unit Security Staff are not available, line management are to instigate AIR action in accordance with the directions in JSP 440<sup>26</sup>.

g. PSyA Pers Sy staff are to ensure that Personnel Security Casework e-referred to them by UKSV is dealt with in a timely fashion.

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25. At least annually, as part of the mandatory checks of personal data.

26. JSP 440, Part 2, Leaflet 7, Paragraph 159-163.

## ANNEX 63A

### RESIDENCY REQUIREMENTS FOR NAVAL SERVICE RECRUITS

1. For security clearance to be issued, all candidates should have resided continuously in the UK (including Northern Ireland) or Eire immediately before their application<sup>1</sup>. The specific length of this residency requirement is determined by the security clearance required for the Branch or specialisation for which the candidate is applying, as follows:

- a. SC clearance - 5 years.
- b. DV clearance - 10 years.

2. Failure to meet the minimum residency requirements undermines the ability of United Kingdom Security Vetting (UKSV) to conduct comprehensive security checks and would present an increased security risk to the Naval Service. It is, however, recognised that in order to meet specific recruiting targets, it may in exceptional circumstances, be viable to accept an increased level of risk provided the risk is outweighed by a specific need and can be appropriately managed.

3. In line with direction in JSP 440 (Part 2 - Leaflet 7), Service Lead Commands are authorised to risk manage their residency requirements for initial entry recruits. As such, Navy PSyA has given UKSV dispensation to automatically process applications from Sole or Dual UK/ROI Nationality candidates as follows:

- a. For SC<sup>2</sup> - where Sole/Dual UK/ROI applicants have either:
  - (1) Lived in the UK or Eire continuously for at least the last three years immediately prior to application or;
  - (2) Lived in the UK or Eire for a total of four years out of the last five (which might, for example, allow candidates that have travelled/worked/ studied abroad for no more than twelve months in the last five years to qualify for minimum residency).
- b. For DV - where applicants have 9 years UK/Eire residence within the last 10 years (Periods up to 56 days may be disregarded):



**Note.** Candidates from Commonwealth countries **MUST** have resided in the UK for a minimum of 5 years prior to application. No exceptions are allowed to this rule.

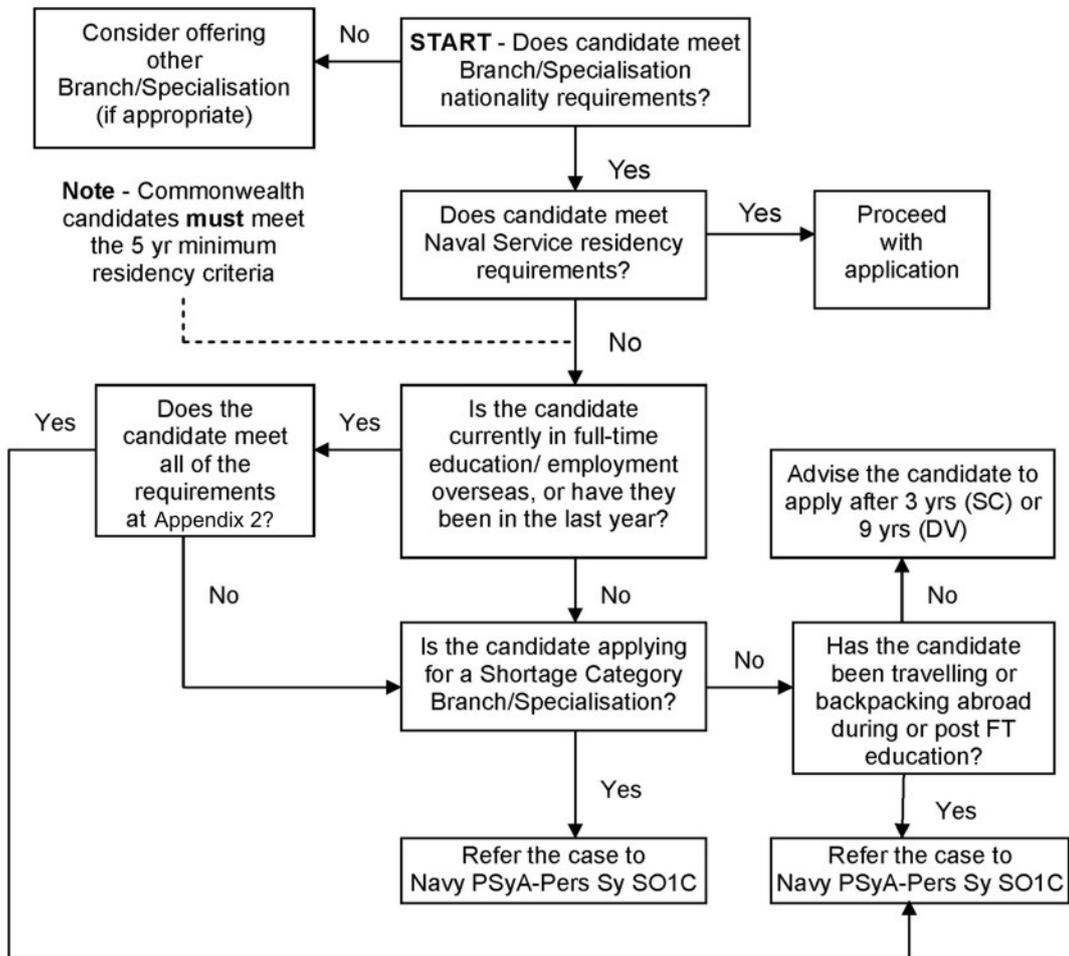
4. Individuals who fail to meet the above abated residency requirements but are nevertheless viewed by recruiting staff as good candidates, are to be referred to Navy PSyA-Pers Sy SO1C for residency waiver<sup>3</sup> consideration; however candidates must still meet the stipulated nationality requirements.

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1. JSP 440, Part 6, Section 2, Chap 7.  
2. In all cases periods of up to 28 days spent out of the UK/Eire, e.g. to allow for foreign holidays, may be disregarded.  
3. With supporting documentation as specified in Appendices 2 & 3 to Annex 63A.

- 5.** It is the responsibility of Naval Regional Commander's staff to verify that candidates meet these minimum residency requirements set by the Naval Service. This includes checking individual passports to verify movements and confirm residency dates.
- 6.** A residency waiver effectively underwrites security clearance until the minimum UK residency requirement will be met and UKSV can undertake a full security check. The supporting documentation/evidence specified in the Appendices to this Annex is therefore required to enable Navy PSyA-Pers Sy SO1C to assess the security risk that would be borne by Navy PSyA if a residency waiver is granted.
- 7.** A Candidate Vetting flow chart is detailed at [Appendix 1](#) to this Annex, which recruiting staff may use as a guide. Specific guidance relating to eligible candidates who have undertaken full-time education or worked overseas is contained at [Appendix 2](#) to this Annex; and guidance in relation to those who have taken a gap in UK/Eire full time study to travel or study abroad is contained at [Appendix 3](#) to this Annex.
- 8.** The advice contained within this Annex is not exhaustive and it is recognised that candidates will present circumstances that have not been covered here. In such cases, recruiting staff should consult Navy PSyA-Pers Sy SO1C for further guidance.

**APPENDIX 1 TO ANNEX 63A**  
**CANDIDATE VETTING FLOWCHART**



## APPENDIX 2 TO ANNEX 63A

### CRITERIA FOR CONSIDERING APPLICATIONS FOR RESIDENCY WAIVERS FOR UK/ EIRE CITIZENS/EXPATRIATES WHO HAVE RESIDED AND/OR UNDERTAKEN FULL- TIME EDUCATION OR EMPLOYMENT OVERSEAS

1. Sole/Dual UK/ROI nationality applicants/candidates who do not meet the minimum Naval Service security clearance residency requirements of 3 years for SC or 9 years (DV) because they have been living, educated or working overseas can be considered for a security clearance residency waiver providing he/she can supply the following documentary evidence to support their application:

- a. A written reference from the head teacher of their school or employer, stating:
  - (1) The candidate's period of enrolment at the school or period of employment.
  - (2) Evidence of educational qualifications attained (where appropriate).
  - (3) An assessment of the subject's trustworthiness, integrity, reliability and conduct.



**Note.** *The candidate would usually be expected to have attended a school in the European Economic Area or a Commonwealth country, unless they are/were residing overseas as a consequence of one or more of their parents being employed directly by HMG or a UK Government Contractor.*

- b. A police certificate from the host nation police service outlining what, if any, convictions the candidate has obtained.
  - c. A copy of the photograph page of their passport.
  - d. A Copy of their Birth Certificate.
  - e. AFCO Form 101.
  - f. Details of all residential addresses whilst overseas and all foreign travel in the last 3 years, accompanied by photocopies of any visa or entry/exit stamps in their passport.
  - g. Suitable character references e.g. from recognised professionals: Teachers, Police, Civil Servants etc.
2. If any of the above documents are not originally produced in English, the candidate is responsible for ensuring that an accurate translation is submitted along with a copy of the original document.
3. Security clearance residency waivers are considered on a case-by-case basis. Meeting the criteria detailed above does not guarantee that PSyA Pers Sy staff will issue a residency waiver.

## APPENDIX 3 TO ANNEX 63A

### CRITERIA FOR CONSIDERING APPLICATIONS FOR RESIDENCY WAIVERS FOR UK/ EIRE CANDIDATES WHO HAVE TRAVELLED ABROAD EITHER DURING OR AFTER FULL TIME EDUCATION

1. The criteria listed below is to be used for Sole/Dual UK/ROI nationality candidates who do not meet the minimum Naval Service residency requirements of 3 years continuous (or 4 out of last 5 years) UK residency prior to application for SC, or 9 years for DV, due to travelling abroad either during or after full time education eg. taken a 'Gap Year'.



**Note.** *Periods of less than 20 days per year can be discounted.*

In order to be considered for a security clearance Residency Waiver, the candidate must supply the following documentation:

- a. A detailed itinerary of where they travelled/studied outside the UK/Eire during this period.
  - b. Details of where they resided, including names and addresses of any private residences used.
  - c. Name, address and telephone numbers of any travelling/studying companions.
  - d. For those candidates who also have worked overseas during their 'gap year', full details of the employer, the period of employment and the nature of job.
  - e. A copy of their Birth Certificate.
  - f. Where a candidate has lived overseas in a country for 6 months or longer, a police certificate from the host nation police service outlining what, if any convictions the candidate has obtained. If not produced in English, the candidate is to submit the original certificate accompanied by a translation, certified by a professional translator.
  - g. A copy of the candidate's passport page showing any visa or entry/exit stamps.
  - h. A completed AFCO 101 form.
2. Security clearance residency waivers are considered on a case-by-case basis. Meeting the criteria detailed above does not guarantee that PSyA Pers Sy staff will issue a Residency Waiver.

**ANNEX 63B**

**AUTHORITY FOR THE DENIAL, WITHDRAWAL AND SUSPENSION OF SECURITY CLEARANCES**

<b>Ser No (a)</b>	<b>Action (b)</b>	<b>Candidate (c)</b>	<b>Minimum Authority (d)</b>
1	Denial of SC	On recruitment only	UKSV (through Navy PSyA-Pers Sy SO1C)
2	Withdrawal of SC	Cdr and below	PSP
		Capt and above	ACNS (CAP)/COS HQ (through the PSP)
		On Discharge SHORE or SNLR.	Navy PSyA-Pers Sy SO1C
3	Denial/Withdrawal of DV	On initial application	UKSV (through Navy PSyA-Pers Sy SO1C)
		Cdr and below	PSP
		Capt and above	ACNS (CAP)/COS HQ (through the PSP)
		On Discharge SHORE or SNLR.	Navy PSyA-Pers Sy SO1C
4	Suspension of Clearance	Lt Cdr and below	Navy PSyA
		Cdr	PSP
		Capt and above	ACNS (CAP)/COS HQ (through the PSP)
5	Restoration of Withdrawn DV Clearance/Initial DV Clearance following Denial	All categories of personnel	As per Serial 3
6	Restoration of Suspended Clearance	All categories of personnel	As per Serial 4

**ANNEX 63C**

**AUTHORITY FOR THE IMPOSITION OF AFTERCARE MEASURES**

<b>Ser No (a)</b>	<b>Action (b)</b>	<b>Candidate (c)</b>	<b>Minimum Authority (d)</b>
1	Post Clearance Aftercare	Lt Cdr and below  Cdr - Capt  Cdre and above	Navy PSyA-Pers Sy SO1C  Navy PSyA  ACNS (CAP)/COS HQ (through the PSP)
2	Assignment Restriction	For security reasons  For nationality reasons	Navy PSyA-Pers Sy SO1C  Navy PSyA-Pers Sy SO1C

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**ANNEX 63D**  
**CASE FILE DIARY**

<b>Date</b>	<b>Weekly Progress Report</b>	<b>Signature</b>

**Case File Ref:**

**Sheet No** of