

**Personnel Security Group (PSG)***Standard Operation Procedure number 3*  
**Initial Vetting Clearance (IVC)**

<b><i>Protective Marking</i></b>	RESTRICTED
Publication Scheme Y/N	No
Title	Initial Vetting Clearance (IVC)
Version	1.1
Summary	This Standard Operating Procedure supports the MPS Vetting Policy.
Branch / OCU	Personnel Security Group.
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Date created	May 2004
Review date	May 2005

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## **Introduction**

This Standard Operating Procedure supports the MPS vetting policy and the ACPO national vetting policy for the police community.

This Standard Operating Procedure sets out the processes involved in the security vetting application for candidates to the MPS and its contractors.

This is a new Standard Operating Procedure.

## **Application**

This Standard Operation Procedure comes into force on the 1<sup>st</sup> June 2004

The Initial Vetting Clearance (IVC) underpins all levels of clearance in the national security vetting system. It must be completed before any clearance at any level can be granted. Before IVC is processed, the Basic Check (BC) procedures must have been completed. IVC is required for any individual who:

- Requires unescorted access to MPS premises; and/or
- Requires unsupervised access to MPS assets protectively marked RESTRICTED, CONFIDENTIAL or above;

An Initial Vetting Clearance (which includes a Basic Check) gives the holder access to: RESTRICTED, CONFIDENTIAL, and occasional access to, or custody of, a small quantity of SECRET material. All material must have been assessed to be of no value to a terrorist organisation.

## **Recruitment Vetting**

Prior to processing an IVC clearance, an HM Government security questionnaire form SC10/94 must be correctly completed and submitted to Directorate of Professional Standards PSG by Central HR Recruitment, Borough HR and HQ HR Units.

## **Non-Police Personnel Vetting**

Prior to processing an IVC clearance, form 7091 must be completed by the Candidate. In addition, form 2108 "Official Secrets Acts Declaration" must also be completed. Where IVC is being processed in addition to a CTC, SC or DV level clearance, the Candidate must complete a consent form for the additional checks made at IVC level to be completed instead of form 7091. Applications not received with all forms correctly completed will be rejected and returned to the sponsoring officer. The return will be logged in the returned forms database provided for this purpose. For recruitment vetting purposes, the application form will be used for the appropriate declaration.

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### Stages in Initial Vetting Clearance

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Service Level Agreements apply in relation to IVC vetting. Clearances must be processed within the current agreed timescale unless:

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In such cases clearance must be processed and a decision reached as soon as is reasonably practicable.

#### Stage One – Residency criteria

The ACPO vetting policy for the police community states that the following periods for UK residency are recommended. For both Recruitment Vetting and Non Police Personnel Vetting (NPPV), 3 years apply. Personnel Security Managers (Band C) may exercise discretion for those candidates that lie outside this criteria.

Where the Candidate has travelled abroad for periods of up to twelve months in the last three years, the case must be referred to a Senior Vetting Officer (Band D). The SVO may consider undertaking developmental enquiries that may include:

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On satisfactory conclusion of these enquiries, the SVO may allow the case to proceed.

**Stage Two** –

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**Stage Three** –

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**Stage Four** –

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**Stage Five** –

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**Stage Six -**

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**Stage Seven -**

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**Stage Eight -**

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**Stage Nine -**

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### Interviewing of Candidates

Senior Vetting Officers should exercise discretion when deciding whether an interview is necessary. As a general rule, interviews should only be conducted to clarify queries, ambiguities or concerns raised during the vetting process. A file note should be completed in respect of all interviews conducted, for future reference, and included in the individual's personal vetting file or on Warrantor.

### Personal Referees

Senior Vetting Officers should exercise discretion when deciding whether to ask for personal referees. As a general rule, personal referees should only be

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used in difficult cases or where concerns are raised during the vetting process.

### **Initial Vetting Clearance (Enhanced)**

An initial vetting clearance (enhanced) includes all those checks conducted above but will include the following.

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### **Review of checks and enquiries**

At this stage the vetting officer will review results of all enquiries and checks. A brief report outlining recommendations must be passed to the Senior Vetting Officer. Before making a final decision the SVO may ask for additional checks or enquiries to be made, for example calling the candidate in for a interview or asking for personnel referees.

### **The clearance decision**

The Senior Vetting Officer will review the case and make a decision as to whether to grant clearance or not.

The front of the security questionnaire will be stamped 'No Vetting Objection" (NVO) or REFUSED by the SVO making the vetting decision.

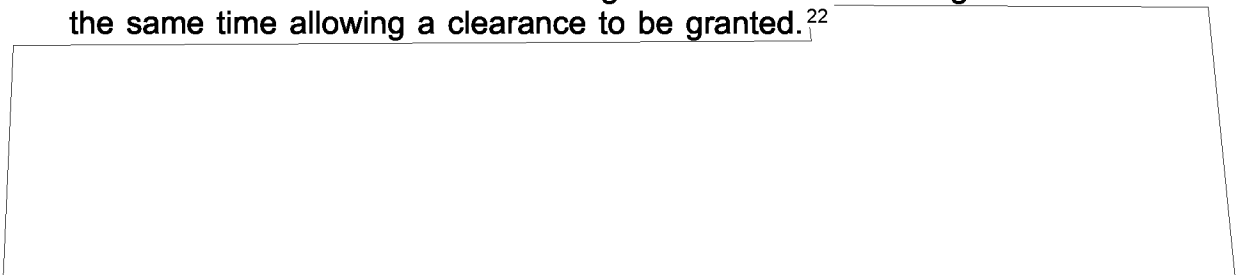
All refusals or limited clearances must be fully documented with the rationale for the decisions. Difficult or complicated cases should be passed to a Personnel Security Manager for advice.

The senior vetting officer may decide to:

- Grant unconditional clearance;
- Grant limited clearance, with conditions being placed upon how and when clearance is granted; or
- Refuse clearance.

### **Limited clearances (NVOR)**

The SVO or Personnel Security Manager may limit clearances dependent on the circumstances. The aim of limiting clearances is to manage risk whilst at the same time allowing a clearance to be granted.<sup>22</sup>



Whenever limited clearance is granted, the Candidate must, as a precursor to clearance being granted, be informed in writing of the conditions, agree to abide by them, and also be notified that failure to comply will result in immediate withdrawal of clearance. Upon written acceptance of conditions by the Candidate, clearance may be granted. Limited Clearances are part of the aftercare, and must be carefully monitored. Difficult vetting cases must be referred to the Personnel Security Manager for advice.

### **Renewal of vetting clearance**

Initial vetting clearance should be reviewed every 5 years. However any level of clearance may be renewed at an earlier stage if adverse information comes to light relating to the subject, or there is material change in individual's personal circumstances.

### **Responsibilities**

The ownership of this Standard Operating Procedure resides with the Directorate of Professional Standards Strategic Committee.

Responsibility for implementing and reviewing the Standard Operating Procedure rests with the Personnel Security Group.

### **Associated Documents and Policies**

MPS Vetting Policy  
ACPO National Vetting Policy for the Police Community  
Manual of Protective Security