

RESTRICTED (WHEN COMPLETED)



HM Government

Security Appraisal Form

If completing by hand please write in **BLACK INK** using **BLOCK LETTERS***For official use only*

Date of issue

Case ID

Subject Details

a. Surname:

b. Forename(s):

c. Date of birth (day, month, year):

d. Staff or service number (if applicable):

e. National Insurance Number:

f. Current Work Address:

Name of Organisation:

Address Line 1:

Address Line 2:

Town:

County/region:

Postcode:

Country:

Telephone:

g. Clearance currently held:

SC

STRAP

DV

h. Period of security appraisal:

From (day, month, year):

To (day, month, year):

[If any of your personal details here are incorrect, please amend them as necessary](#)

As you may be aware, Government regulations stipulate that your continued suitability for access to highly classified information must be reviewed annually. To enable this to happen, you are required to complete Part 1 of this form before passing it to the immediate supervising officer who has had the most professional contact with you over the period covered by this appraisal.

You should be aware that failure to complete this form and return it to the Vetting Authority* could have a detrimental impact upon your continued suitability to hold a security clearance.

If you have any questions on completing the form or there are circumstances that prevent you from doing so **within 1 month from the date of issue highlighted above**, please contact the Vetting Authority at the earliest opportunity.

*The Vetting Authority is the organisation that issued your National Security Vetting Clearance.

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PART 1 - TO BE COMPLETED BY VETTING SUBJECT

1. Post and Supervisor

Please give details of your Supervising Officer (immediate Line Manager who has responsibility for completing your annual performance appraisal). If you have had more than one during the period covered by this security appraisal, please give details of the Supervising Officer who can cover the majority of this time. **When you have completed Part 1 you should pass the form to this supervisor.**

a. Title of Subject's Post/Section:

b. Dates Subject was supervised (nearest month): From: To:

c. Supervisor's Surname:

d. Supervisor's Forename(s):

e. Supervisor's current post:

f. Supervisor's Current Work Address:

Name of Organisation:

Address Line 1:

Address Line 2:

Town:

County/region: Postcode:

Country:

Telephone:

Contractors only:

Company name: Current Sponsor's title:

2. Access to SECRET and TOP SECRET Material

a. How would you measure the extent of your current access to SECRET and TOP SECRET material and assets?

	SECRET	TOP SECRET
More than one document a week:	<input type="checkbox"/>	<input type="checkbox"/>
More than one document a month:	<input type="checkbox"/>	<input type="checkbox"/>
Less than one document a month:	<input type="checkbox"/>	<input type="checkbox"/>

b. Do you have any access to STRAP material? Yes No

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3. Personal Circumstances

Notes:

- a. The Government regulations covering Personnel Security Vetting are contained in the Cabinet Office publication The Security Policy Framework and (for Service and MOD personnel) in the Defence Manual of Security (JSP 440) Issue 3 Part 6.
- b. The vetting process stipulates that particular types of security clearance must be appraised annually. The level of security clearance you currently possess falls into this category.
- c. The vetting process also stipulates that you must inform the Vetting Authority of any significant change to your personal circumstances. This includes such things as:
 - Change in marital status or partner.
 - Change in step parents and step brothers or sisters.
 - Change in co-residents' details if you share accommodation with people other than family members.
 - A significant change in financial circumstances - e.g. County Court Judgement, bankruptcy.
- d. Your security clearance was issued on the assumption that you would notify the Vetting Authority of any of the above occurrences. Failure to do so could have adverse consequences. If any of the categories referred to above apply to you, please complete a Change of Personal Circumstances Form (Form NSV004) and/or a Financial Questionnaire (Form NSV003) and send it/them to the Vetting Authority at the earliest opportunity.

STATEMENT

I understand my obligation to inform the Vetting Authority of any material changes to my personal circumstances and will do so by completing a Change of Personal Circumstance Form (Form NSV004) and/or a Financial Questionnaire.

Signed:

Date:

Telephone:

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PART 2 - TO BE COMPLETED BY SUPERVISING OFFICER

Unless you have anything adverse to report, this form should take no longer than 20 minutes to complete

1. The annual security appraisal of the vetting subject named in Part 1 of this form is now due and you are understood to be the Supervising Officer most suitable to complete it. **Please complete Part 2 of this form and return it to the Vetting Authority within 1 month of the date it was issued (page 1 refers).** The Vetting Authority is the organisation that issued the Subject's security clearance. Failure to complete and return this form may have a detrimental impact upon the Subject's continued suitability to hold their security clearance.
2. Supervising Officers are required to complete an annual security appraisal for individuals in DV posts or for those shortly to be taking up such posts. A report is also required for those individuals holding SC clearances with access to SECRET STRAP material. Appraisals should provide an honest, accurate assessment of the subject's character, conduct and reliability as well as appropriate background information that can be used when security clearances are reviewed or when a higher level of security clearance is required. For guidance on the Supervising Officer's responsibilities relating to personnel security you are directed to HMG Security Policy Framework, Personnel Security, Appendix 8 or (for Service and MOD personnel) to the Defence Manual of Security (JSP 440) Issue 3 Part 6 Section 1 Chapter 2 Annex C and Part 6 Section 3 Chapter 1.

3. Contact with the Subject

<p>a. For what period has the Subject been under your supervision? <i>If this is less than 4 months, please see Question 7b, on Page 6.</i></p> <p>From: <input type="text"/> To: <input type="text"/></p> <p>b. How much contact do you have with the Subject at work?</p> <p><input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Less frequently than weekly</p> <p>c. How well do you know the Subject socially?</p> <p><input type="checkbox"/> Well <input type="checkbox"/> Slightly <input type="checkbox"/> Not at all</p> <p>d. Do you have any reservations about supervising the subject? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes please give details below. If necessary, please tick here <input type="checkbox"/> and continue on a separate sheet.</p>
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4. Personal Qualities

Please describe the subject in terms of their:

<p>a. Personality Traits (e.g. interpersonal skills, career satisfaction, reliability, stability, discretion, ability to cope with pressure, recklessness)</p>	<input type="text"/>
<p>b. Security Awareness (e.g. their attitude towards personal, physical and IT security procedures)</p>	<input type="text"/>

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5. Behaviour

a. Have you noticed any changes in the Subject's behaviour, approach to the job or work performance over the appraisal period? Yes No

b. As far as you are aware, has the Subject been responsible for any serious or repeated breaches of security during the appraisal period? Yes No

If yes please give details below. If necessary, please tick here and continue on a separate sheet which should be attached to this form when returned.

c. To the best of your knowledge, has the Subject shown any evidence of:

- Associations or contact with subversive organisations? Yes No

- Misuse of drugs? Yes No

- Misuse of alcohol? Yes No

- Unreliability/dishonesty/untrustworthiness/indiscretion? Yes No

- Significant financial difficulties or unexplained affluence? Yes No

- Conduct liable to lead to vulnerability to blackmail? Yes No

- Illness, including mental illness, which might cause defective judgement? Yes No

If yes please give details below. If necessary, please tick here and continue on a separate sheet which should be attached to this form when returned.

6. Clearance Requirement

a. Notwithstanding your previous answers, are you aware of any other grounds that might cast doubt upon the Subject's continued suitability for security clearance? Yes No

If yes please give details below. If necessary, please tick here and continue on a separate sheet which should be attached to this form when returned.

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b. What level of security clearance does the vetting subject require for their current post? (Please tick one)

- CTC SC DV

7. Other Enquiries

a. Is there anything else about the subject that worries you, or that could indicate a matter of potential security concern? Yes No

If yes please give details below. If necessary, please tick here and continue on a separate sheet which should be attached to this form when returned. Alternatively, if you would prefer to discuss the matter in person with a representative of the Vetting Authority, please tick 'yes' at Q7c, below.

b. Is input from another supervisor needed to give a full and accurate appraisal of the Subject? Yes No

If 'yes', please give their contact details below. If necessary please tick here and continue on a separate sheet, which should be attached to this form when returned.

c. Is there any other matter which you would like to discuss personally with a representative of the Vetting Authority? Yes No

Signed: Date: Telephone:

Surname: Forenames:

Please return the completed form to the Vetting Authority.