

Industry Security Notice

Number 2012-03

Subject: Ongoing Personnel Security Requirements for Defence Contractors – Aftercare Responsibilities

Introduction

1. Individuals within Defence contractor facilities perform a vital role in maintaining the security of Ministry of Defence (MOD) protectively marked assets. One of the most important is the effective management of personnel security of their staff, both at the initial recruitment stage and as part of ongoing personnel security (aftercare).

Issue

2. The aim of this Industry Security Notice (ISN) is to inform Defence contractors of the issues they should be addressing to maintain effective ongoing personnel security for staff subject to National Security Vetting (NSV) and, where security concerns arise, how they report any issues to the MOD, specifically Defence Business Services - National Security Vetting (DBS-NSV).

Action by Industry

3. Managers should always be aware of the circumstances and behaviours that may make their staff vulnerable to pressure or improper influence or could otherwise indicate unreliability. Whilst some may be obvious, such as financial difficulties or alcohol abuse, it is worth restating the most common areas of concern:

- a. Financial issues, this not only includes debt but sudden or unexplained access to large sums of money
- b. Drug abuse
- c. Alcohol abuse
- d. Sexual misconduct
- e. Illegal or ill-advised behaviour, particularly when travelling overseas or on detached duty
- f. Compulsive gambling

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- g. An illness or condition (primarily mental, but not exclusively) which may cause significant defects in judgement or make the individual, unintentionally, a security risk
- h. Involvement with extreme religious or political groups, defined as those involved or advocating espionage, terrorism, sabotage or actions intended to overthrow or undermine parliamentary democracy by political, industrial or violent means
- i. Gross infringement of the Company's disciplinary codes and regulations

4. Where a Manager considers that an NSV cleared member of their staff exhibits any of the preceding criteria, they should decide, in conjunction with their Company Security Manager, Human Resources department or senior company management (as appropriate), whether the circumstances require reporting.

5. If after consideration, the circumstances of concern are:

- a. considered serious enough; or
- b. where the significance of the circumstances are as yet unclear; or
- c. following advice from the MOD

then the Manager or other appropriate individual should complete an Aftercare Incident Report (AIR). The AIR template is enclosed at Annex A and includes guidance on its completion in the 'Notes' section.

6. If it is determined that the circumstances do not require reporting, then the company should deal with the issue as they consider appropriate using their own guidance and regulations.

7. If the company becomes aware that an individual has been charged or convicted of an offence (even if unrelated to their employment), that the individual would be expected to declare on an initial application for NSV then an AIR should be raised as a matter of course. The questions asked on convictions can be viewed at Section 16 on the NSV application form NSV001 which can be found on the DBS NSV website at: http://www.mod.uk/NR/ronlyres/3E807301-5F5B-4AFB-B23D-AAC2747FBB40/0/Form_NSV001.pdf).

In cases of doubt MOD DBS-NSV should be consulted.

8. If a Manager receives an allegation relating to an individual that would cause a security concern, they should satisfy themselves that it is not merely mistaken or malicious. In circumstances such as this the MOD DE&S Security Advice Centre or MOD DBS-NSV may be approached for advice on how best to proceed in the case of an allegation against the individual.

9. After completion, the AIR should be submitted to MOD DBS-NSV, Aftercare Team, Building 107, Imphal Barracks, Fulford Road, York YO10 4AS and a copy sent to MOD

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DE&S, DH Sy/PSyA Personnel Security Policy, Poplar -1 # 2004, Abbey Wood, Bristol, England, BS34 8JH.

10. After submission of an AIR the company can normally expect to receive an acknowledgment from MOD DBS-NSV within 7 working days. The company may also be contacted to provide further information or with a request to take further action. Further guidance would be provided at the time by MOD DBS-NSV.

11. Management should not be concerned if they are asked to take no further action by the MOD DBS NSV or other Government organisation. In the vast majority of cases a 'no-action' response is the most likely outcome. If the problem continues to persist then early reporting may well have provided the baseline for identifying more serious concerns.

Summary

12. Early reporting of personnel security concerns is absolutely essential in order to minimise any risks to the company, MOD assets or material and to the individual.

13. Effective use of the reporting procedure provided in this ISN will increase the ability for MOD to deal with potential personnel security issues confidently and efficiently whilst maintaining an appropriate duty of care to the individual and, in respect of List X contractors, satisfies industries obligation under the Security Policy Framework, Chapter on Personnel Security – Appendix 9.

Contact

14. Any queries relating to the contents of this ISN should be directed in the first instance to the DE&S Security Advice Centre (SAC); Tel 030 67934378. desinfra-securityadvicecentre@mod.uk.

Validity

15. This ISN is effective immediately and until replaced or rescinded.

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RESTRICTED-VETTING (when completed)

Aftercare Incident Report (AIR)

To: DBS NSV

Copy to: MOD DE&S, DH Sy/PSyA

Date:

Name:

Initials:

Employing Company:

Employing Facility:

Security clearance level held ⁽¹⁾:

Clearance Ref:

The following incident concerning a person of security interest is reported.

Employment and authorised access to protectively marked material ⁽²⁾:

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Details of incident and assessment of effect on the subject security reliability ⁽³⁾:

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(Continue on a separate sheet if necessary)

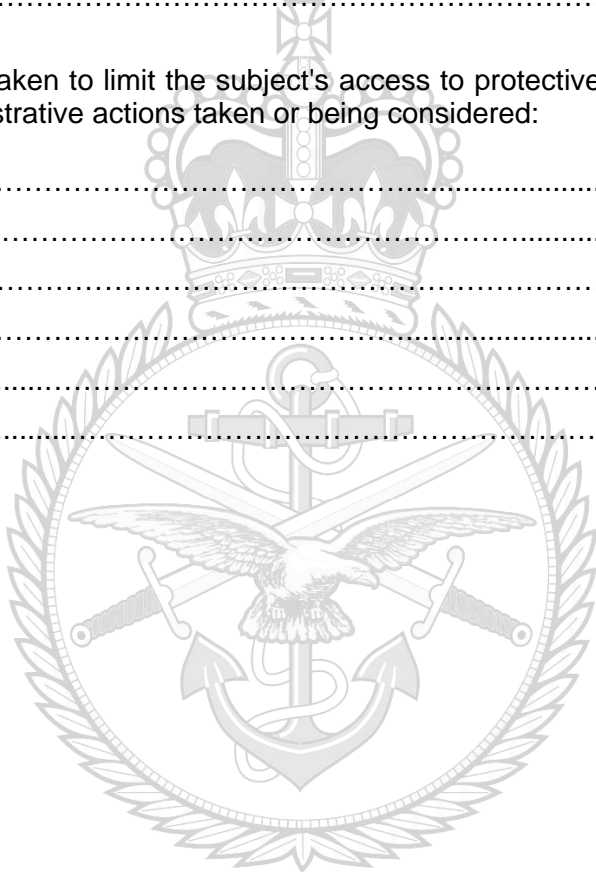
RESTRICTED-VETTING (when completed)

Assessment of the risk to security that may result from the subject's continued access to protectively marked material:

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Details of action already taken to limit the subject's access to protectively marked material, and of any disciplinary or administrative actions taken or being considered:

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Signature:

Name & Initials:

Position in Company:

Contact Telephone Number:

E-mail:

Address:

RESTRICTED-VETTING (when completed)

Notes:

1. Insert the current security clearance of the subject i.e. SC, DV or none.
2. Insert current employment and level of access and, if known, future employment with date and level of access.
3. Full details of the incident are to be included; where appropriate, any supporting documents (e.g. supervising officers' reports) are to be attached.



RESTRICTED-VETTING (when completed)