

**WARWICKSHIRE POLICE AUTHORITY
VETTING POLICY
(applicable at 30th November 2009)**

1. Introduction and Background

- 1.1 Warwickshire Police Authority is conscious that it is provided with strategic and operationally sensitive information which impacts on the resource decisions of the Police Force. In addition, for the Authority to effectively discharge its scrutiny functions, it must be in a position to understand and, where appropriate, to challenge the Force. As part of this and the Authority's duty to secure effective and efficient policing for the County, the Warwickshire Police Authority recognises it has a public interest duty to ensure the security of police and government assets and information which, if disclosed, could further criminal activities.
- 1.2 In 2006 the Authority agreed that all members and staff would be vetted to a basic level. In recognition of its increasing role in the governance of protective services the Authority required its Chair and the Lead for Protective Services to be vetted to SC level from the end of 2008. This was completed in January 2009. The July 2009 review of the Governance roles of Authority Members extended the scope of SC level vetting to both Vice Chairs and the Deputy Lead for Protective Services. The Authority is also committed to developing a Use of Information policy by 31st March 2010 which will fit the Force Management of Police Information Policy. This document summarises the arrangements which have been put in place during this period.
- 1.4 This policy applies to:
- Members of Warwickshire Police Authority
 - Staff employed by Warwickshire Police Authority who are not under the direction and control of the Chief Constable
 - Persons working with the Authority who require access to police premises without constant supervision
 - Persons working with the Authority to assist it in the meeting of its statutory duties

2 Aims and Principles

- 2.1 The aim of this policy is to allow the Warwickshire Police Authority to:
- Exercise robust and effective governance of policing
 - Ensure that the Authority meets its statutory duties, which include:
 - Holding the chief constable to account
 - Ensuring the delivery of an effective and efficient police service
 - Securing continuous improvement in the delivery of policing services
 - Maintaining trust and community confidence
 - Ensuring the security of police and government assets and prevent operational compromise
- 2.2 The following principles will be applied:
- 2.2.1 **Need to know:**
- The dissemination of sensitive information and assets should be no wider than is necessary for the efficient and effective conduct of the

Authority's business and, by implication, should be limited to those individuals who are appropriately authorised to have access to it.

2.2.2 **Ownership of intelligence:**

- Intelligence remains the 'property' of the originator who may impose conditions on the way in which it is handled, actioned and to whom it is disclosed. Only the originator of a 'protectively marked' asset may authorise a change in protective marking.

2.2.3 **Specificity:**

- The detail and origin of the intelligence will determine the protective marking, the required vetting status of recipients and the extent of disclosure.

2.1.4 **Proportionate:**

- The application of this policy will be proportionate to the nature of the work being undertaken and the level of access required, whether to premises or information.

3 Levels of Vetting

3.1 The Authority applies the four levels of national security vetting. These are:

3.1.1 **Basic identity checks:**

- Which involve a check of identity documents and references. Such checks allow regular access to confidential information.

3.1.2 **Counter terrorism check (CTC):**

- Includes a basic identity check and a check against national security records. Such checks allow access to restricted, confidential and occasional supervised access to secret information.

3.1.3 **Security (SC):**

- Includes a basic identity check, plus checks against the UK criminal and security records and a credit check. Such checks allow frequent and uncontrolled access to 'secret' assets and occasional and controlled access to 'top secret' material.

3.1.4 **Developed vetting (DV):**

- Includes a security check together with the completion of a supplemental questionnaire, a financial check, checking of references in writing, by telephone or by interview from personal friends, tutors and employers as appropriate, a detailed interview with the person needing the security clearance conducted by a vetting officer. Such checks are needed for long term access to 'top secret' assets.

3.2 The HM Government Security Questionnaire covers the vetting process for CTC, SC and DV levels. It includes a statement of the Government's vetting policy. The Warwickshire Police NPPV 3 Contractors Security Vetting Form is used for the Basic Identity Checks.

4 Application of the Policy

4.1 The process for commissioning vetting is the responsibility of the Chief Executive. The Head of the Professional Standards Department of the Force is responsible for arranging the vetting.

4.2 All persons subject to this policy are vetted to basic identity check level.

4.3 **Members**

4.3.1 Members roles and Accountabilities are described in 'GOVERNANCE FRAMEWORK - Roles, Accountabilities and Allowances' - Version 4.0 dated 29th July 2009. At each annual review of this document consideration is given the level of security clearance required for each member role. The level of vetting required is determined by the Chief Executive in consultation with the Chair of the Authority, the Director of Protective Services and the Chief Constable. Member roles requiring vetting beyond the basic identity check are noted in the document and are summarised in Appendix 1 of this policy.

4.3.2 Where a member is not granted clearance the Chief Executive, in consultation with the Chief Constable, will determine any limitations that might apply to the work of the member. The Chief Executive will provide written notification. A person can ask for this decision to be reviewed within 14 days of receipt of the written notification. The Monitoring Officer with appropriate advice and in consultation with the Chair and Vice-Chairs will review the decision and provide a written statement outlining the result of the decision. The decision reached will be final.

4.3.3 If either the Chief Executive or Monitoring Officer is of the view that a member is unable or unfit to discharge their functions as a member then the Authority may remove a member from office by notice in writing in accordance with paragraph 19 (1)(d) of Schedule 2 Police Act 1996.

4.4 **Staff**

4.4.1 The Chief Executive of the Authority is subject to vetting clearance to Security Clearance level as a condition of any employment offer. For new appointments of other staff, vetting clearance to the level required by the job description will be a condition of any employment offer. Vetting at CTC, SC and DV levels will be applied to those staff whose job responsibilities require it. The level of vetting required is determined by the Chief Executive in consultation with the Chair of the Authority, the Director of Protective Services and the Chief Constable. Staff roles requiring vetting beyond the basic identity check are summarised in Appendix 1 of this policy.

4.4.2 All persons subject to vetting requirements will be notified that vetting clearance has been granted. Where an existing employee is not granted clearance the Chief Executive, in consultation with the Chief Constable, will determine any limitations that might apply to the work of the employee. Where vetting clearance has not been granted or limitations are placed on a clearance the person will receive written notification and, where possible, provided with an explanation. A person can ask for a decision to be reviewed within 14 days of receipt of the written notification. The Chief Executive, with appropriate advice, will review the decision and provide a written statement outlining the result of the decision. The decision reached will be final.

Documents used during the vetting process will be retained in confidence. Information contained in any questionnaires is confidential and will not be disclosed other than for the purpose of the vetting process.

Appendix 1

List of Member Roles and Staff Jobs that Require Enhanced Vetting

(Applicable at 29th July 2009)

Members:

Role	Vetting Level
Chair	SC
Vice Chair A (Lead Protective Services)	SC
Vice Chair B	SC
Deputy Lead for Protective Services	SC

Staff:

Role	Vetting Level
Chief Executive	SC