

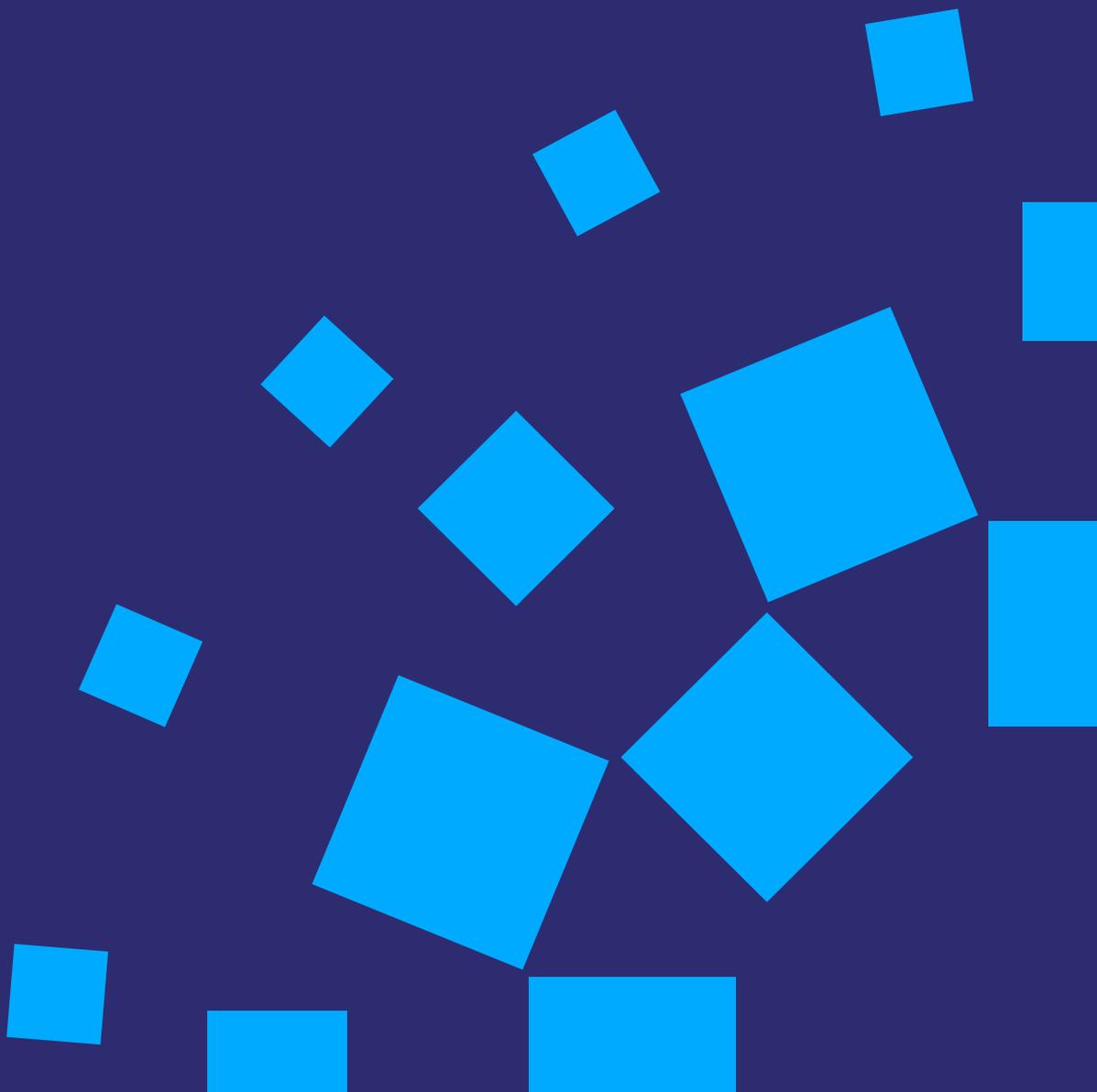


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APP on Vetting

2021



College of Policing Limited
Leamington Road
Ryton-on-Dunsmore
Coventry
CV8 3EN

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1 Introduction

- 1.1 Everyone within, working alongside or delivering service on behalf of the police service must maintain high ethical and professional standards, and must act with the utmost integrity. They must also be seen to maintain and promote such standards. A thorough and effective vetting regime is a key component in assessing an individual's integrity. It helps to reassure the public that appropriate checks are conducted on individuals in positions of trust. Vetting also identifies areas of vulnerability that could damage public confidence in a force or the wider police service.
- 1.2 Authorised Professional Practice (APP) Vetting provides information on the vetting procedures that will be applied by police forces in England and Wales. It has been developed to support the consistent application of the minimum national standards relating to vetting across the police service.
- 1.3 The purpose of APP Vetting is to:
- set out the key principles of vetting in the police service
 - set out how those principles are to be implemented in the police service
 - support the consistent application of vetting standards across the police service
 - uphold police integrity
 - support the delivery of the highest professional standards in serving the public, through the nine policing principles set out in the Code of Ethics
 - support the standards expected of those serving - or working in or with - policing, as set out in the Standards of Professional Behaviour¹ for Police Officers and Special Constables, and the Police Staff Council Standards of Professional Behaviour² for Police Staff (which will be

1 Schedule 2, Police (Conduct) Regulations 2020, Standards of Professional Behaviour.

2 Police Staff Council, Joint Circular No. 54, Standards of Professional Behaviour.

collective referred to in this APP from herein as the Standards of Professional Behaviour)

- 1.4 Vetting should not be used in isolation and should form part of a wider protective security regime. APP Vetting should be read in conjunction with the **Vetting Code of Practice** and the **National Decision Model (NDM)**.

2 Scope

2.1 APP Vetting applies to:

- the police forces maintained for the police areas of England and Wales defined in section 1 of the Police Act 1996 (it is available for adoption by other police forces or agencies)
- applicants to the police service
- individuals appointed to, or employed by, police forces (for example, police officers, police staff and members of the Special Constabulary)
- individuals and organisations working under contract to, in partnership with, or on a voluntary basis with police forces in England and Wales
- local policing bodies
- non-police force vetting units who conduct police vetting
- the College of Policing and its personnel

3 Why is vetting necessary?

- 3.1 Vetting is conducted in the police service to help identify, assess and manage risk relating to areas including, but not limited to:
- protection of police assets
 - national security
 - public safety
 - public confidence
 - protection of organisational assets
 - operational safety
 - leadership
 - corruption and coercion
 - integrity
- 3.2 Vetting clearances must be granted before an individual is appointed, employed or otherwise authorised to access police premises or information that is not in the public domain. This is because the vetting process can uncover information that shows the individual is unsuitable to be appointed, employed or otherwise given unsupervised access to police assets.
- 3.3 To avoid undue delay in police business, vetting clearances need to be processed in a timely manner.
- 3.4 Provisional or conditional clearances may be granted to an individual based on any known risks pending full clearance being received, or when an individual has been given a period of time to address any risks through the vetting clearance process.
- 3.5 The acceptance of any identified risk should lie with the department to which the individual is being recruited. It is recommended that provisional or conditional clearances should only be used in exceptional circumstances where the force agrees that there is a justifiable business need to accelerate the appointment. Disclosure of any relevant issues to third parties, such as line managers, should only occur with consent. If consent

is not given, the provisional or conditional clearance cannot be granted.

- 3.6 Where a provisional or conditional clearance is considered, a full rationale - including review dates and any other safeguards - should be recorded and maintained by the force vetting manager (FVM) until the full vetting process has been completed.
- 3.7 There is a risk to an individual of finding themselves without employment if they have resigned from, or turned down, other employment and the provisional or conditional clearance is subsequently withdrawn. The potential for this situation to occur should be made clear to the individual.

4 Expectations of the Vetting Code of Practice

This section includes guidance on what is expected of people who work for the police service (including contractors, consultants, partner agencies and volunteers), as well as those seeking to join the service.

4.1 Safeguarding against disproportionality and obligations under the Equality Act 2010

4.1.1 The College of Policing's [Future Operating Environment 2040](#) identified future challenges to the police service, including the need to ensure that those in policing have the skills and attributes to meet the changing nature of demand. Changes in society can be fairly rapid, and it can be challenging for the police service to adapt unless it is representative of the population.

4.1.2 There is a risk that vetting has a disproportionate impact on under-represented groups. Without any bias, forces and FVMs should ensure that every opportunity is taken to support the police service by recruiting and retaining applicants with protected characteristics.

4.1.3 The protected characteristics, as defined in the [Equality Act 2010](#), are:

- age
- disability
- gender reassignment
- marriage and civil partnership
- pregnancy and maternity
- race
- religion or belief
- sex
- sexual orientation

- 4.1.4 Regular monitoring and central reporting of analytical data is vital, to help provide the evidence base for the impact of vetting on under-represented groups. This will also assist with compliance with the force's obligations under the Equality Act.
- 4.1.5 Forces must monitor vetting applications, at all levels, against protected characteristics to understand whether there is any disproportionate impact on particular groups. Where disproportionality is identified, forces must take positive steps to address this, while maintaining the safeguards that vetting provides. Developing, implementing and maintaining risk management strategies will be key here.
- 4.1.6 This APP contains recommended monitoring categories. It is recognised that not all forces will be in a position to report on all these categories immediately. Where this is the case, forces should monitor against the categories they reasonably can, and should work towards full compliance with any national standard that is developed as soon as practicable.
- 4.1.7 Forces and FVMs should ensure that they:
- are aware of, and understand, the significance of unconscious bias and identify options to address its impact, through appropriate training and professional development
 - are able to provide statistical information from available force data that relates to their decision, where a protected characteristic is known
 - support and promote positive action in respect of all under-represented groups within the police service
- 4.1.8 In supporting positive action initiatives, FVMs should actively engage with potential applicants prior to, and during, recruitment campaigns to explain the vetting process, dispel myths and potentially manage expectations.

4.2 Gender Recognition Act

- 4.2.1 Under section 22 of the Gender Recognition Act 2004 (GRA), it is an offence to disclose that someone is transgender.
- 4.2.2 For vetting purposes, all previous names must be disclosed by the vetting subject, including those that reveal they have been through transition. While there is nothing in the GRA that compels disclosure, there is no statutory protection for individuals who fail to disclose such information. Where vetting enquiries suggest that a previous identity may not have been disclosed, a subject interview should be conducted to ascertain the reasons for this.
- 4.2.3 Where the vetting subject has been through transition, the two identities should be treated as separate individuals. If it is necessary to make enquiries outside of the vetting unit, the two names should be listed separately, rather than as a previous name.
- 4.2.4 Details that identify transgender status should only be recorded on the vetting system and not shared with anyone outside of the vetting unit, unless there are legislative grounds that specifically allow this.
- 4.2.5 It is recommended that any guidance issued by forces relating to vetting provides contact details for any vetting-related queries, including matters related to the GRA.

4.3 Expectations of police forces

- 4.3.1 Vetting units must comply with the requirements of the [Vetting Code of Practice](#) and must have a nominated FVM or nominated equivalent. The FVM must have the authority of the chief officer to grant, refuse or withdraw vetting clearances relevant to their force or area. Each force must have suitable vetting arrangements that ensure compliance with the Vetting Code of Practice. These arrangements may be delivered collaboratively with other forces.

- 4.3.2 Following a dismissal (or a resignation or retirement when a person is subject to a continuing gross misconduct investigation), the College of Policing should be informed by the professional standards department (PSD) in line with the [**Police Barred List and Police Advisory List Regulations 2017**](#).
- 4.3.3 Flagstone records must be created on intelligence systems (in line with the Vetting Code of Practice). This enables information to be available from a Police National Database (PND) search.
- 4.3.4 Where flagstone records are no longer required (for example, following a Police Appeals Tribunal decision that reinstates an individual, or a decision not to continue an investigation for a former officer or staff member), they should be deleted, in accordance with the [**Police National Database \(PND\) Technical Guidance for Submission of Flagstone Records**](#).

4.4 Expectations of elected local policing bodies and chief officers

- 4.4.1 In accordance with Home Office guidance, police and crime commissioners (PCCs) and their statutory deputies do not have to be vetted. Guidance from the National Policing lead for Vetting has stated that independent legally qualified chairs of misconduct hearings do not need to be vetted ([**Explanatory Memorandum to the Official Secrets Act 1989 \(Prescription\) \(Amendment\) Order 2012 No. \[Draft\]**](#)).
- 4.4.2 All other staff within the elected local policing body (ELPB) must be vetted in accordance with APP Vetting. ELPBs, through their monitoring officer or the chief executive and the FVM, must ensure that the chief officer of their force holds and maintains an appropriate level of vetting clearance.
- 4.4.3 In conjunction with the FVM, chief officers must ensure that police officers and staff are vetted to the required level before being appointed, and that non-police personnel hold valid clearance prior to be granted unsupervised access to police assets. They must also make sure that serving police personnel

hold a valid vetting clearance.

- 4.4.4 For further information, see Home Office (2012) advice on security vetting and information sharing arrangements with PCCs. This document is available via the Professional Standards Vetting group on The Knowledge Hub. This is a closed group and permission to join the community has to be granted.

4.5 Expectations of police force vetting units

4.5.1 Force vetting units (FVUs) must:

- abide by the principles set out in the Vetting Code of Practice and comply with APP Vetting
- coordinate and manage all clearances for their relevant area
- ensure that applicants and serving personnel are aware of the obligations placed on them by the Vetting Code of Practice and APP Vetting
- maintain records detailing all clearances conducted by the unit and have a retention schedule for such information
- ensure that aftercare (see [section 8.48](#) below) and renewal is conducted on clearances, where necessary, in accordance with the requirements of APP Vetting – aftercare is required at least twice during the validity of the clearance for management vetting (MV) and non-police personnel vetting (NPPV) level 3 posts
- deal with all information provided and revealed during the vetting process with appropriate levels of sensitivity and security
- maintain appropriate levels of confidentiality at all times – information should only be released to third parties where necessary and proportionate, such as during the course of a criminal or misconduct inquiry
- carry out their functions in line with relevant legislation, including the Data Protection Act (DPA) 2018 and General Data Protection Regulation (GDPR) 2018

- 4.5.2 Personnel working in vetting should be cleared to MV, with security check (SC) applied where appropriate.
- 4.5.3 Vetting clearances should be dealt with in a consistent and efficient manner.
- 4.5.4 When a vetting clearance is withdrawn or withheld and the applicant questions the decision, they must be provided with as much information as possible.

4.6 Expectations of force vetting managers

- 4.6.1 FVMs should ensure that decisions made are consistent with APP Vetting.
- 4.6.2 APP vetting provides a set of standards that all forces are expected to adhere to. Any decision to deviate from these standards will require a robust rationale that will stand up to scrutiny from Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS).
- 4.6.3 The APP sets the minimum standards that should be applied for each clearance level. If these minimum standards are not applied, it will prejudice the portability of clearances to other forces and agencies. This may mean that any individual applying to transfer to another force or agency may need to undertake another vetting process.
- 4.6.4 FVMs should ensure that any decision rationale is fully recorded if applicants who have convictions, cautions or other disposals (such as reprimands, warnings, fixed penalty notices for disorder and arrests) are accepted as police officers or special constables. In respect of police staff and non-police personnel, this should only apply to those who have criminal convictions or cautions that are not protected under the Rehabilitation of Offenders Act 1974 (ROA).
- 4.6.5 A full rationale should also be recorded in respect of applicants for appointment as police officers or special constables, or employment as police staff if they have been the subject of a

criminal investigation that has resulted in no further action.

- 4.6.6 Where clearance is granted and the subject has a previous conviction or caution, there should be a process of notifying a chief officer or delegated authority. It is recommended that the information relating to these applicants is recorded on Centurion or another centralised PSD recording system. The FVM should also consider the impact of disclosing convictions and cautions, as provided in Chapter 18 of [**The Crown Prosecution Service \(CPS\) Disclosure Manual**](#). The document ensures compliance with the Criminal Procedure and Investigations Act 1996 (CPIA) and provides guidance on all information that will be revealed to the prosecutor.
- 4.6.7 Where applicants are accepted by forces following assessment of identified potential risk, this does not mean they would automatically be granted the same level of vetting clearance by other police forces.

4.7 Expectations of applicants to the police service

- 4.7.1 Individuals applying for the position of police officer, member of police staff or special constable must comply with the vetting process they are undertaking. In doing so, they must:
- provide complete and accurate information in response to all vetting enquiries
 - notify the relevant vetting authority of any changes in their circumstances, relating to information provided as part of the vetting process, as soon as possible
- 4.7.2 Individuals who fail to comply with the process will have their vetting clearance withheld. Their application for employment or appointment will also be discontinued. Vetting clearances can also be withdrawn if it is shown that misleading, incomplete or inaccurate information was provided or relevant information was withheld. As a result, a misconduct investigation might also commence.

- 4.7.3 Clearance may also be withdrawn if it can be shown that notification of a relevant change in personnel circumstances is intentionally withheld in the intervening period between clearance being granted and commencement of employment or appointment.

4.8 Expectations of police personnel and volunteers

- 4.8.1 Police personnel (serving police officers, special constables and police staff) and volunteers must be vetted in accordance with APP Vetting and the Vetting Code of Practice. To ensure adherence to the **Code of Ethics and Standards of Professional Behaviour**, all members of the policing profession must act with the highest levels of integrity. They should, therefore, disclose all relevant information during the vetting process and throughout the lifetime of the vetting clearance. The individual's honesty and integrity will be questioned if information is purposely withheld. Potential vulnerabilities are likely to be identified as a result. Where they freely disclose such material during the vetting process, any potential vulnerability may be mitigated.
- 4.8.2 Changes in an individual's circumstances must be reported to the appropriate vetting authority as soon as possible after the change has occurred. Information provided will be treated in confidence and may include:
- changes in marital status or civil partnership
 - change of name or address
 - change of co-residents over the age of 10
 - significant changes affecting an individual's financial status such as a county court judgement, participation in a debt management plan or windfall
 - being the subject of, or a person of interest in, a criminal investigation
- 4.8.3 While confidence will be maintained as much as possible, there will be occasions where it is proportionate and necessary to disclose

the information to other units, such as PSD or Counter Corruption. This may include, for example, where the notification of a change in circumstance relates to the subject breaching the Standards of Professional Behaviour. Any such disclosure will be made by the FVM, who will maintain a documented rationale for the disclosure.

- 4.8.4 Failing to disclose relevant information could result in the vetting clearance being downgraded or withdrawn.
- 4.8.5 All vetting clearances must be subjected to the relevant aftercare process (see [8.48](#)).
- 4.8.6 When information that might question the suitability of an individual's vetting clearance comes to the attention of police personnel, especially supervisors, the appropriate vetting authority must be informed. The information should be treated with the appropriate level of sensitivity and security in accordance with the DPA, government security classification (GSC) and relevant force policies.

4.9 Expectations of non-police personnel, including contractors, consultants, volunteers and partner agencies who work closely with, or share premises with, the police service

- 4.9.1 Individuals who are not appointed or employed by the police service, but require unsupervised access to police assets (including information, systems or premises), must comply with the vetting process. Unsupervised access is not granted until vetting clearance has been obtained. Where vetting clearance is withheld or withdrawn, forces should not grant unsupervised access.
- 4.9.2 Vetting clearances obtained by non-police personnel must be subjected to the relevant aftercare process. Costs incurred by a police force when processing vetting checks for contracted staff may be charged to the contractor, in accordance with the National Police Chiefs' Council (NPCC) Vetting charging guidelines. These are published on the Professional Standards Vetting group on The Knowledge Hub.

5 Vetting regimes

- 5.1 There are two vetting regimes in the police service:
- force vetting – designed to protect police assets
 - national security vetting (NSV) – designed to protect government assets
- 5.2 There is some commonality between the threats posed to police assets and government assets, but there are differences. The two regimes, therefore, have different decision-making criteria. The vetting enquiries involved draw on distinct information sources.

6 Force vetting

6.1 Force vetting levels

- 6.1.1 There are three levels of force vetting applicable to the police service:
- non-police personnel vetting
 - recruitment vetting
 - management vetting
- 6.1.2 Force vetting levels are applied to all individuals who require unsupervised access to police assets (including information, systems or premises). Some of these individuals also require access to GSC information. Where this is the case, the appropriate level of NSV is applied.
- 6.1.3 Individuals who are not required to have unsupervised access to police information, systems or premises do not require force vetting clearance.
- 6.1.4 Force vetting considers wider and more comprehensive threats than NSV. Therefore, the decision in respect of a force vetting clearance should be completed before finalising NSV clearance.
- 6.1.5 All vetting levels in the police service are underpinned by the authentication procedure, which must be completed before any vetting enquiries are initiated. Completing this procedure satisfies the requirements of the national identity and access management service (IAM).
- 6.1.6 There is no requirement to re-verify the individual's identity for IAM purposes, unless there has been a change of name.

6.2 Maintaining records

- 6.2.1 Forces should record:
- information provided by the vetting applicant
 - the results of vetting enquiries

- the rationale for refusing, suspending, withdrawing or granting clearance, including with restrictions
- where adverse information has been revealed and considered

- 6.2.2 In cases where the full rationale for the decision cannot be provided to the vetting applicant, forces should prepare an open decision sheet suitable for disclosure to the vetting applicant (on request), as well as a separate closed decision sheet to be kept on file. The open record should contain as much information as possible in relation to the rationale, even if this is only summary information. In such cases, a record of the considerations of which information is suitable for disclosure should also be kept with the vetting file. It may be necessary to seek advice on disclosure from the force data protection officer.
- 6.2.3 Vetting files can be stored as a hard copy or electronically and must be maintained securely. Access should be limited to those who have a business need. Vetting files should be stored separately to personnel files due to the sensitivity of material contained in them.
- 6.2.4 Vetting files should be kept for no longer than is necessary (see [APP Information Management](#)). The content of vetting files may be disclosed:
- during the course of legal proceedings
 - during any police misconduct or counter corruption investigations
 - as a result of a Right of Access request
- 6.2.5 Forces should develop a retention schedule for vetting records, in accordance with information management principles and the NPCC National Guidance on the minimum standards for the Retention and Disposal of Police Records.

7 Force vetting procedures

This section includes guidance on the different vetting procedures that have to be followed in order for an applicant to be granted the appropriate level of vetting clearance. In some cases, vetting clearance can be granted with conditions, withheld or refused.

7.1 Authentication

7.1.1 Authentication is not a formal security clearance, but underpins all levels of force and national security vetting. It must be completed before the vetting process is started. Force vetting decisions must be completed before finalising NSV (see [7.12.1](#)).

7.1.2 Authentication is used to confirm an individual's identity, nationality, employment eligibility and residency qualification. It does not allow access to police information that is not in the public domain, nor does it allow unescorted access to any police premises.

7.1.3 It is the responsibility of human resources (HR), the employer or other internal sponsor to ensure that authentication takes place and is fully audited before vetting forms are forwarded to the FVU. The authentication process comprises four stages, and the information collected should be reviewed and assessed between each stage. The stages should be carried out in the order shown below:

- identity check
- nationality check
- employment eligibility
- checkable history

7.2 Identity check

7.2.1 The vetting subject's identity should be verified through use of traditional documents, such as a passport or driving licence.

- 7.2.2 The details on the vetting form should be verified against the identity document(s).
- 7.2.3 A copy of the identity document should be maintained on the vetting file.
- 7.2.4 It is not expected that the FVU physically examines all identity documents. This function can be carried out by HR or by another appropriate sponsor. Where the identity documents are checked by the sponsor, they should sign a declaration to confirm that they are satisfied the personal information contained in the vetting form is accurate.

7.3 Nationality check

- 7.3.1 The purpose of the nationality check is linked to the employment eligibility check, to assist in discharging statutory obligations under the Immigration, Asylum and Nationality Act 2006.
- 7.3.2 Nationality can be verified through examination of the vetting subject's passport. As with [7.2.4](#), nationality can be established by HR.

7.4 Employment eligibility

- 7.4.1 For those employed by or appointed to the force, the 'right to work' should be verified, in accordance with [Home Office guidance](#). This function may be carried out by the HR department. For those being cleared to NPPV levels, it is the responsibility of the employer to verify employment eligibility.

7.5 Checkable history

- 7.5.1 Checkable history only applies to force vetting. The process allows for meaningful enquiries to be made about an individual. Forces must apply checkable history equally to all vetting applicants, regardless of nationality. At present, it is not possible to make meaningful vetting enquiries in many jurisdictions outside the UK. The checkable history criterion has been

developed to account for this area of risk.

- 7.5.2 Subject to 7.9, vetting clearance cannot be granted if the applicant has not been resident in the UK for the relevant minimum period (see below) and if comparable vetting enquiries cannot be made in jurisdictions where the individual has been residing. Information showing the address history should be provided by the vetting subject and a copy should be maintained on the vetting file.
- 7.5.3 Where the subject does not meet the residency criteria, it may be proportionate to conduct all necessary vetting enquiries in the relevant overseas jurisdictions, if the force has the ability to do this. In such cases, the minimum residency period for force vetting levels can be removed. This can only occur when it is possible to make enquiries (equivalent to those made in the UK) with local law enforcement and national security bodies, as well as credit reference agencies, in the relevant jurisdictions. Checks should be made on the applicant and, with cause and by exception, their family members and associates.

7.6 Residency criteria

- 7.6.1 The need for the residency rule arises from the requirement to vet all applicants in an equitable manner. This is because the UK police service does not currently have any means of routinely facilitating vetting enquiries overseas to the extent required for those who are resident in the UK.
- 7.6.2 The purpose of the residency criteria is to ensure that applicants have a checkable history in the UK, so that meaningful vetting enquiries can be undertaken. The criteria provide reassurance when considering the health and safety of police personnel and the public. Effective vetting cannot be conducted if there is no way to assess the honesty, integrity, reliability and overall suitability for clearance of appointees against the information available.
- 7.6.3 The residency requirements refer to the period immediately before an application is made, and not any other three-, five-, or ten-year period, or any other accumulation of time spent in the UK.

- 7.6.4 For the purposes of force vetting, the following residency requirements apply:
- non-police personnel vetting – three years
 - recruitment vetting – three years
 - management vetting – five years
- 7.6.5 If the vetting applicant has been living outside the UK while serving with the armed forces or on government service, they are classed as being resident in the UK. An individual travelling overseas on a gap year or similar is considered to be on an extended holiday and has therefore maintained residency in the UK.
- 7.6.6 Checkable history can be obtained through verification of the subject's address history or employment references.
- 7.6.7 For national security vetting, the HMG Personnel Security Controls sets out the minimum periods of residence in the UK required before meaningful checks at the various levels can be completed. Departments and agencies should exercise discretion when individuals have not resided in the UK for the following periods:
- counter terrorist check (CTC) – three years
 - security check – five years
 - developed vetting (DV) – ten years

7.7 Application of the residency criteria

- 7.7.1 If an individual resides permanently in the UK, they are considered to be a UK resident.
- 7.7.2 An individual who has moved overseas and severed major ties to the UK (for example, closed bank accounts and sold property) is considered, for the purposes of vetting clearance, to have surrendered their residency in the UK. This would also apply to people who maintain bank accounts purely for the purpose of receiving regular payments, for example, a UK pension.

7.7.3 An individual is considered to be on an extended holiday if they have spent a significant period of time overseas (normally up to one year) without returning to the UK, but intend to return in the future. For example:

- taken a gap year, or similar, before or following university
- travelled for a year
- spent time overseas visiting family

This is not an exhaustive list.

7.7.4 Individuals who meet the above criteria maintain their UK residency and may therefore be considered for vetting clearance.

7.7.5 Where an applicant meets the residency qualification but identifies a period of residency outside the UK, consideration should be given to undertaking checks through the ACRO Criminal Records Office. Any overseas convictions should be considered on a case-by-case basis. Due regard should be given to the nature of the offence, age of the conviction and jurisdiction where it was tried.

7.8 Residency and service with HMG or the armed forces

7.8.1 An individual who has been posted overseas as part of their service with HMG or the armed forces is considered to have been resident in the UK for the period that they were abroad. Reference to members of the armed forces also includes civilian personnel who are accompanying a force as part of a civilian component or equivalent.

7.8.2 Where an individual has been overseas as the spouse, partner or dependant of a member of the armed forces posted overseas, it may be possible to obtain the necessary assurance for a checkable history to be established. In such cases, contact should be made with the Ministry of Defence (MOD) to ascertain what checks can be made through the local authorities of the host nation where the individual was resident. Where sufficient

enquiries to satisfy the checkable history criteria can be made, these should be completed through the relevant Personnel Vetting Authority, via the MOD.

- 7.8.3 Vetting enquires, as described above, can also be completed for any family members who are themselves resident overseas as part of an overseas posting, tour of duty or military deployment.
- 7.8.4 Where the vetting subject's family members are resident overseas due to posting, tour of duty or military deployment, the potential risk will be mitigated by the geographical distance of the family member(s). Therefore, where the vetting subject meets checkable history, the fact that the necessary vetting enquiries may not be able to be completed in relation to family members should not ordinarily result in clearance being withheld, in accordance with any other vetting clearance.

7.9 Consideration to be made when applying the residency criteria

- 7.9.1 The police service aspires to reflect aspects of the communities it serves.
- 7.9.2 Therefore, consideration can be given to applying discretion to the residency requirement. The reasons for discretion and appropriate risk assessment should be made clear and should be recorded in the vetting file before starting the vetting process. It is recommended that such a decision be made in consultation with HR.
- 7.9.3 Where professional discretion is applied, a risk assessment must be recorded and must include the implementation of predetermined periodic reviews until the subject meets the minimum residency requirement.
- 7.9.4 Where the residency criteria are enforced and vetting enquiries cannot be completed, the subject should be provided with the rationale for this and encouraged to reapply when they meet the residency criteria.

7.10 Residency discretion and ability to transfer between forces

- 7.10.1 Where discretion is applied in accordance with this APP, and when recruitment vetting is granted and the appointment is made, the individual's subsequent ability to transfer between forces may be limited. This is because the decision to appoint was made according to local need and was based on the attitude to risk applied within the originating force. It is, however, also unlikely that the individual will attain any higher levels of vetting clearance under either the police or NSV regimes until they satisfy the residency criteria.
- 7.10.2 Even where forces can obtain a checkable history for those who do not meet the minimum residency criteria, NSV enquiries may not be possible. FVMs should, therefore, give careful consideration to whether NSV clearance can be granted.

7.11 Recruitment vetting

- 7.11.1 The minimum level of vetting for all police personnel is RV. If CTC is required, the subject will first require RV clearance. If a post is determined to require NSV clearance at SC or DV level, the post must also be subjected to MV clearance.
- 7.11.2 RV is the minimum level of check acceptable for police personnel to be allowed unsupervised access to police assets, estates and information. Where agency staff, who should be cleared to NPPV, are being made permanent, they should be re-vetted to the appropriate level, RV or MV.
- 7.11.3 Those changing employment group, such as police officers retiring and re-joining as police staff, or members of police staff joining as police officers or becoming special constables, should also be subject to a vetting health check if 12 months or more have passed since they were last cleared. This can only be done if their original clearance is in date. Where clearance has expired, a new application should be submitted.

- 7.11.4 The above applies if the level of vetting clearance for the new role is comparable to that already held. Where a higher level of vetting clearance is required, the individual should be re-vetted at the appropriate level.
- 7.11.5 RV clearance, preceded by authentication, allows regular access to police assets up to OFFICIAL-SENSITIVE and occasional access to SECRET. The RV process should be completed after the applicant has passed all other assessment criteria, such as assessment centres and interviews. In all cases, clearance must be processed and a decision must be reached as soon as reasonably practicable.

7.12 Recruitment vetting and the national security vetting process

- 7.12.1 For practical reasons, it may be necessary for vetting applicants to complete NSV and force vetting questionnaires at the same time. Forces may consider starting the NSV process before granting force vetting clearance, due to the time it could take for NSV clearance to be decided.
- 7.12.2 Those police officers, police staff and members of the special constabulary who require NSV must also be cleared to at least RV. Non-police personnel who are being cleared to NSV by the police should be vetted to at least NPPV2 (full) first.

7.13 Transferees and those with previous police service

- 7.13.1 The following guidance applies to:
- police officers and special constables transferring from one police force to another
 - police staff applicants who currently serve in another force
 - officers, specials and police staff applicants who have previously served in another force

References to 'parent force' relate to the force where the officer or staff member is currently serving (or previously served). References to 'receiving force' relate to the force that the officer or staff member has applied to. Refer to [Sample Transferee Checklist](#) for a full list of all information required for transferees.

- 7.13.2 Forces must ensure that the integrity of the individual wishing to transfer into the force (or re-join) is beyond question, and that there are no outstanding complaints or matters currently under investigation.
- 7.13.3 Where the vetting subject has received vetting clearance in the last 12 months to the level required for the role they are moving to, the clearance can be transferred to the receiving force. Where clearance is transferred, the full vetting file should be sent to the receiving force. In all other cases, where clearance was completed more than 12 months ago and/or to a level lower than that required for the post they will be undertaking, a full re-vet will be required.
- 7.13.4 The FVM has the discretion to require a full re-vet.
- 7.13.5 In all cases, whether clearance is transferred or a full re-vet is required, the receiving force must request the full complaint and misconduct history of the officer or staff member from the parent force and from any other forces where they have served.
- 7.13.6 Following such a request, the PSD for the parent force will ensure that a full complaint and misconduct history, as well as details of any counter corruption intelligence, is provided in the form of a summary print of all matters recorded against the individual. It is the responsibility of the PSD of the parent force to ensure that the officer or staff member's complaint and misconduct history and intelligence has been weeded, in accordance with national retention guidelines, prior to sending it to the receiving force.
- 7.13.7 The complaint and misconduct history should be recorded on the PSD Complaint and Misconduct Database of the receiving force (as a nominal record). This is so that an examination of the

officer or staff member's history can be made by the appropriate authority or investigating officer as part of the Severity Assessment in any future complaints or conduct matters. Any intelligence should be forwarded to the receiving force's Counter Corruption Unit.

7.13.8 If an officer applies to transfer forces and fails to declare a criminal or other relevant matter (that their parent force was unaware of), their application will fail. In such cases, the parent force should be made aware. This may also lead to an additional misconduct investigation, which could lead to dismissal by the parent force.

7.13.9 In accordance with the HMICFRS recommendation in the 'Shining a light on betrayal' spotlight report, the following information should be collated in respect of all individuals transferring between forces:

- performance
- sickness
- complaints
- business interests
- notifiable associations
- corruption intelligence

7.14 Transfer or other movement between forces during, or after, professional standards investigations

7.14.1 There have been occasions where the parent force has instigated a service confidence procedure, or similar, for transferees who had commenced duty in the receiving force. This generally occurs as a result of the parent force raising concerns about the person's honesty and integrity, but the force being unable to dismiss the officer from the police service. In some cases, the motivation for the transfer may be to escape the duty restrictions brought about by the instigation of service confidence measures

and/or to avoid detection of further misconduct within the parent force, in particular corruption, if continuing to behave in such a way.

- 7.14.2 Where the officer is subject of an active misconduct investigation in their parent force, in such circumstances, the transferee is likely to be required to return to that force to attend a meeting or hearing in respect of serious disciplinary offences.
- 7.14.3 In such cases, the parent force should share the result of the meeting or hearing with the receiving force. This may lead to an additional misconduct investigation in the receiving force and withdrawal of vetting clearance.
- 7.14.4 If a transferee is required to attend a hearing in their previous force that results in dismissal, they will be placed on the police Barred List and will be unable to hold the office of constable in any force.
- 7.14.5 Where an individual is subject to a complaint or conduct investigation that is not yet complete, they should not be allowed to transfer without the permission of the appropriate authority of the parent force and Head of PSD of the receiving force.

7.15 Re-joiners

- 7.15.1 Where officers or staff have left the police service and apply to re-join the force they previously served with, their previous clearance can be reinstated if 12 months or less have passed since it was granted, following a vetting health check.
- 7.15.2 Individuals seeking to join another force will be required to be re-vetted. In the case of FVUs that serve multiple forces, individuals holding valid clearance - conducted in the last 12 months by the FVU that also serves the individual's previous force - can have their clearance reinstated following a vetting health check, as at [7.15.1](#).
- 7.15.3 Where relevant, biometric vetting should be applied in accordance with the legislation and local application.

7.15.4 The only exception to [7.15.3](#) is for individuals who have been dismissed and reinstated on appeal (see [7.16](#)).

7.15.5 In all other cases, where clearance was granted more than 12 months ago, a new vetting application should be completed.

7.16 Return following dismissal

7.16.1 Where a police officer or special constable has been dismissed and subsequently reinstated by a Police Appeals Tribunal, the start of appointment cannot be delayed in the absence of security vetting. The individual should be reinstated as soon as practicable and vetting enquiries should be completed at the earliest opportunity.

7.16.2 If vetting enquiries identify any adverse information covering the dismissal period, or any other adverse information that was not previously known, the PSD will be notified.

7.16.3 PSD will consider whether the person has breached the standards of professional behaviour or their conditions of service, and will take action accordingly. If the adverse information relates to NSV, consideration should be given to withdrawing NSV clearance. An internal appeal should be made available in relation to the withdrawal of NSV. The individual may also have a right to access the Security Vetting Appeals Panel (SVAP) process.

7.16.4 If a member of police staff is dismissed but then reinstated following an internal appeal or employment tribunal, and if adverse information unrelated to the reasons for dismissal is revealed through vetting enquiries, consideration should be given to whether there has been any breach of the standards of professional behaviour or any breach of the terms of their contract of employment. Such matters will be assessed by PSD or HR, dependent on local force processes. The above principles should be followed.

7.17 Return following secondment

- 7.17.1 Officers and staff returning to force following a period of secondment must be vetted to the appropriate level for the post they will be returning to.
- 7.17.2 If an appropriate level of clearance is already held, a vetting health check should be completed if clearance was granted more than 12 months ago.
- 7.17.3 If police personnel return to work from secondment and vetting checks reveal adverse information covering the secondment period, FVMs must notify the PSD. The PSD will consider whether or not the individual has breached regulations or their conditions of service, and will take action accordingly.

7.18 Recruitment vetting

- 7.18.1 Where the applicant has declared matters such as convictions, criminal investigations, financial issues or previous role(s) in the police service, forces should make an initial vetting assessment on receipt of the application, to ascertain whether the application should be progressed.
- 7.18.2 Vetting enquiries should be conducted in respect of all individuals named on the vetting questionnaires who are aged 10 or over.

7.19 Recruitment vetting – checks and enquiries

Applicant	Minimum checks	Access to assets protective marking requirements
<ul style="list-style-type: none"> ■ Police officers ■ Police staff ■ Special constables 	<p>On applicant, partner, all family (aged 10 years old and over), associates and co-residents (as per sample forms):</p> <ul style="list-style-type: none"> ■ Police National Computer (PNC) ■ all force databases (including non-conviction databases) ■ Counter Terrorism Unit ■ PND and other force checks <p>On applicant only:</p> <ul style="list-style-type: none"> ■ record management system check ■ crime report allegations ■ voters' records ■ check of vetting database ■ credit reference check and consideration of financial position ■ open-source enquiries (for example, search engines and social networking sites) ■ professional standards check where necessary ■ MOD checks where relevant ■ ACRO check where appropriate ■ CTC may be applied where appropriate 	<p>RV, preceded by authentication, will allow access to police information classified up to OFFICIAL-SENSITIVE and occasional access to SECRET.</p>

7.20 Management vetting

- 7.20.1 All police personnel with long-term, frequent and uncontrolled access to SECRET assets and occasional access to TOP SECRET assets should hold MV clearance (see designated posts and minimum level of clearance). In order to grant MV clearance, the force should ensure that they have no reason to doubt the integrity of the individual or their susceptibility to improper external influences.
- 7.20.2 The purpose of MV is to provide a means of additional assurance in relation to the integrity, reliability and potential for financial vulnerability of individuals serving in posts with access to sensitive police premises, information, intelligence, financial or operational assets, where:
- the risk of potential compromise of those assets is high
 - the risk of serious damage to the force is substantial
- 7.20.3 Serious damage is defined as:
- frustrating the prevention and detection of serious, organised or major crime
 - frustrating the apprehension or prosecution of such offenders
 - causing significant financial loss to the force
 - unlawful or inappropriate awarding of contracts
 - otherwise adversely affecting the operational capability, reputation or security of the force
- 7.20.4 MV clearance is a requirement for service in all posts requiring that level of clearance, irrespective of whether post holders have access to police or government classified assets. This can include individuals who award contracts or handle sensitive financial assets.

7.21 Management vetting – checks and enquiries

Applicant	Minimum checks	Access to assets protective marking requirements
<ul style="list-style-type: none"> ■ Individuals identified as working in a post assessed as meeting the criteria for MV. 	<p>On applicant, partner, all family (aged 10 years old and over), associates and co-residents:</p> <ul style="list-style-type: none"> ■ PNC ■ local intelligence checks ■ PND and other force checks ■ all force databases (including non-conviction databases) ■ Counter Terrorism Unit <p>On applicant only:</p> <ul style="list-style-type: none"> ■ voters' records ■ check of vetting database ■ MOD checks where relevant ■ professional standards checks (as required) ■ personal finances (including financial questionnaire, force credit reference check and assessment of information returned) ■ business interest and secondary employment check (where relevant) ■ liaison with occupational health (where relevant) ■ open-source enquiries (for example, search engines and social networking sites) 	<p>MV allows access to police classified material or information up to SECRET and occasional access to TOP SECRET.</p>

Applicant	Minimum checks	Access to assets protective marking requirements
	<ul style="list-style-type: none"> ■ enquiries relating to vulnerability to pressure or inducements (including the indiscriminate use of alcohol or drugs and/or gambling), where relevant ■ appraisals from current and/or former supervisors to cover a minimum 12-month period (where applicants are existing staff) ■ interviews with current and former supervisors at the discretion of the FVM ■ interviews with the person subjected to the vetting procedure at the discretion of the FVM ■ line manager endorsement (reference) ■ aftercare must be carried out for MV clearances ■ ACRO check where appropriate ■ SC and DV may be applied where appropriate 	

7.22 Further information regarding minimum checks

Police intelligence records and other non-conviction databases

- 7.22.1 The applicant's name and current home address, as well as any other addresses resided at in the past five years, must be searched for on intelligence and information records and on other non-conviction databases. Checks should also be conducted on the current home address of all individuals named on the vetting questionnaires, as well as on those who come to notice during the vetting process who are believed to be linked to criminality.
- 7.22.2 Any intelligence about the applicant, family members and home addresses revealed by these checks will have been classified using the intelligence report. The grading of the intelligence should be considered as part of the risk assessment.
- 7.22.3 When a police officer, special constable, member of police staff or designated volunteer is dismissed from a Home Office force – or resigns or retires during the course of, or prior to, gross misconduct proceedings – the police Barred and Advisory Lists must be updated in accordance with the [**Police Barred List and Police Advisory List Regulations 2017**](#). A flagstone record must be created on the force intelligence system or PND, usually by PSD. Former officers subject to formal investigation or proceedings must similarly have their details added to the Barred and Advisory Lists in line with the legislation, and must have flagstone records created in accordance with the [**Police National Database \(PND\) Technical Guidance for Submission of Flagstone Records**](#). All updates should be completed within five days of the relevant event. This ensures that the information and intelligence will be detected as a result of a PND check, and that forces are able to comply with the legislation. On occasion, flagstone records may require deleting, for example, following a Police Appeals Tribunal decision that reinstates, or a decision not to continue an investigation for a former officer or staff member. This deletion must also be conducted in accordance with the Technical Guidance.

- 7.22.4 Details of the applicant – as well as details of their partner, parents and other close family members, associates and any other person residing with the applicant – should be checked against historical investigation files. Generally speaking, there is no need to review a file when the applicant is shown as the victim of a crime. In all other cases, however, it is recommended that the file is reviewed.
- 7.22.5 Forces should check details of the applicant – as well as details of their partner, parents and other close family members, associates and any other person residing with the applicant – against the suspect and accused records. Searching the applicant’s address will identify allegations of crime affecting other people residing with the applicant.

Police National Database

- 7.22.6 Forces should use the PND to carry out national intelligence checks on all individuals named on the vetting form. They should also check the applicant’s home address, ensuring that the ‘Events’ section of PND is checked. Forces will also need to check whether an applicant has a flagstone record in relation to the Barred and Advisory Lists. It will be necessary to conduct sufficient differing searches to reasonably exhaust the possible search results in line with the national training standards. Where there is an indication that a flagstone record may exist, the Barred and Advisory Lists themselves should also be checked to confirm whether or not an applicant is listed, and the legislation should then be followed accordingly.
- 7.22.7 If the PND is not available for vetting purposes and the applicant has resided outside the force area they are being cleared to work in, that force should contact the force area where the individual has resided at any time in the last five years. The College Barred and Advisory Lists should also be checked.

Professional standards check

- 7.22.8 If an applicant has any previous police service as a police officer, member of police staff or special constable, checks should be made with the relevant PSD(s). This allows checking against professional standards complaints, misconduct and intelligence databases as part of the vetting process. This also includes a counter corruption check.
- 7.22.9 Following such a request, the PSD will ensure that a full complaint and misconduct history is provided, in the form of a summary print. It is the responsibility of the PSD of the parent force to ensure that the officer or staff member's complaint and misconduct history has been weeded, in accordance with national retention guidelines, prior to sending it to the receiving force.
- 7.22.10 The complaint and misconduct history should be recorded on the PSD complaint and misconduct database of the force they are transferring to as a 'miscellaneous' matter. This is so that an examination of the officer or staff member's history can be made by the appropriate authority or investigating officer as relevant, as part of the severity assessment in any future complaints or conduct matters.
- 7.22.11 The check should be carried out with the force that the applicant worked for, or served with, as well as with the force the applicant has applied to.

Electoral register check

- 7.22.12 Forces should check details of the applicant's address against the electoral register. Applicants who are not shown on the register should have their previous address checked. If the applicant is not shown on the electoral register, they should be contacted to establish further information. Forces should consider additional identity checks for applicants not shown on the electoral register.
- 7.22.13 A check of the electoral register can be obtained through a credit reference check.

Checking security files

7.22.14 Forces must check vetting databases to establish whether the applicant has ever held security clearance with the home force, and whether there were any security breaches or incidents relating to that clearance period.

Credit reference checks

7.22.15 The information provided in the vetting questionnaire should be compared with the results of a credit reference check.

7.22.16 Certain financial issues should result in rejection, while others may require aftercare interventions.

7.22.17 Where the applicant declares financial issues in the vetting application form, the financial vetting check should be made at the start of the vetting process, if consent to this has been obtained.

Interviewing applicants

7.22.18 Applicants may be interviewed where necessary in order to clarify queries, ambiguities or concerns raised during the vetting process.

References

7.22.19 Checking references falls to the recruiting authority or unit, and is completed as part of the recruitment function by HR.

Assessing medical needs

7.22.20 Forces should take great care when considering information relating to medical issues that is revealed as part of the vetting process. Neither police officers nor FVMs are qualified to assess medical conditions, including mental health.

7.22.21 Any medical information revealed as part of the vetting process, such as intelligence reports or allegations, must be passed to the force medical officer (FMO) or occupational health unit (OHU) for a full professional assessment. The remaining vetting enquiries should be completed and clearance should be finalised.

7.22.22 Following such an assessment, the FMO or OHU should decide if the applicant is medically suitable for the role. The FMO or OHU should not pass personal medical information to FVUs in any circumstances.

MOD checks

7.22.23 MOD checks should be carried out where the applicant was previously employed within HM armed forces.

Special branch and counter terrorism branch checks

7.22.24 Special branch and counter terrorism branch enquiries are made against the applicant, partner, family, associates and co-residents regarding domestic extremism and counter terrorist information.

Open source checks

7.22.25 Forces should check content on publically available social media sites for the purposes of service reputational reassurance, and to ensure that the applicant's online behaviour is compatible with the Code of Ethics or Standards of Professional Behaviour.

- The applicant must use social media responsibly and safely.
- The applicant must not have published anything that could reasonably be perceived by the public or by policing colleagues to be discriminatory, abusive, oppressive, harassing, bullying, victimising, offensive or otherwise incompatible with policing principles.
- The applicant must not have published, or offered to publish, any material that might undermine their reputation or that of the policing profession, or might run the risk of damaging public confidence in the police service.

7.22.26 A proportionate approach should be taken in relation to such enquiries. Forces need not spend excessive time in researching. If the subject cannot be found in a reasonable time period, a 'no trace' conclusion can be drawn.

7.22.27 Those conducting open source research should be trained to the appropriate standard in accordance with local procedures.

7.23 Biometric vetting

- 7.23.1 Biometric vetting for police officer and special constable applicants is codified within Regulation 10A of the Police Regulations 2003, as amended by the **Police (Amendment No. 3) Regulations 2012**, and **Regulation 1ZA of the Special Constables Regulations 1965**. These regulations state that a candidate for appointment as a police officer or special constable must undergo biometric vetting, with consent, and the chief officer must be satisfied with the results prior to appointment.
- 7.23.2 Biometric vetting checks should be undertaken on candidates who have reached the stage of being conditionally offered an appointment, concurrent with the other stages of the vetting process. It should be conducted on those applying for the position of police officer or special constable (though not those transferring forces).
- 7.23.3 The purpose of biometric vetting is to determine whether:
- the individual has come to police attention
 - any police attention was under the identity being used for their application
 - the individual is linked to any outstanding crime scene marks or stains
- 7.23.4 There is no legal requirement for biometric vetting to be conducted on police staff. However, police staff posts that are intrinsically frontline-facing and/or involve considerable time spent with the public should be subjected to biometric vetting. Forces should conduct an audit of police staff posts and identify those for which biometric vetting is proportionate and justifiable.

Consent

- 7.23.5 The police service should be transparent throughout its recruitment process and literature. Prospective candidates from the earliest stages of recruitment should be aware that if they are successful, they will be asked to consent to providing their fingerprints and a DNA sample. These are checked against

the relevant local and national databases before commencing employment.

7.23.6 Fingerprints and DNA are required to be provided following expressed consent being given by the prospective appointee, for the following purposes (this does not apply to those transferring to another police force):

- a speculative search
- retaining fingerprints on the police elimination database (PEDb) until an individual leaves the police service
- retaining a DNA profile on the Centralised Elimination Database (CED) until 12 months after the date the individual leaves the police service

7.23.7 Express consent should be obtained before undertaking biometric vetting checks, for example, using the sample letters:

- **sample letter to prospective police officers and special constables: taking of fingerprints and DNA**
- **sample letter of consent to be returned signed by prospective police officers and special constables: taking of fingerprints and DNA**
- **sample letter for issue to prospective PCSOs and police staff: taking of fingerprints and DNA**
- **sample letter of consent to be returned signed by prospective PCSOs and police staff: taking of fingerprints and DNA**

DNA and fingerprints

7.23.8 Only one DNA sample and one set of fingerprints are required. Upon checking and appointment, the DNA profile (derived from the DNA sample) is held on the CED. Fingerprints are held on the PEDb.

7.23.9 Where the searches are negative, the appointment of the individual can progress normally. Where the results of the

searches are positive, the relevant FVM is notified for appropriate action to be taken. Appointment of the individual will be delayed until any issues raised following the positive result have been satisfactorily resolved. The ultimate decision as to whether to recruit or not is made by the chief officer, delegated to the FVM.

7.23.10 Where positive searches related to serving police personnel (for example, a member of police staff applying to become a regular police officer or a special constable), a referral is made to the relevant PSD for appropriate action.

Destroying records

7.23.11 If a satisfactory DNA profile is derived from a DNA sample, then the sample must be destroyed within six months of it being taken.

7.23.12 Where applicable, fingerprints and DNA profiles are retained as hard copies (with case papers) until the conclusion of any outstanding investigation or impending legal proceedings, in case they need to be disclosed.

7.24 Reciprocal vetting

7.24.1 Reciprocal vetting has been developed for the vetting of personnel working in vetting units. The recommended process for reciprocal vetting is as follows.

- Forces entering into reciprocal vetting must decide and agree between themselves the arrangements for conducting the necessary checks before commencing vetting activity.
- Where reciprocal arrangements are used, the force conducting the enquiries should make a clearance recommendation, but the clearance decision remains with the FVM, or other appropriate line manager, of the requesting force.

7.24.2 This process has been developed for the following reasons.

- Conducting in-house enquiries in relation to colleagues, particularly where matters relating to their personal life are revealed, may have an effect on working relationships within the force.

- Conducting in-house enquiries in relation to colleagues may render individuals vulnerable to allegations of corruption, because of the associations and close working relationships that might develop within a small team.
- Where issues are raised by the vetting process, reciprocal vetting ensures that objective, impartial and transparent decisions are made.

7.25 Vetting of chief constables

- 7.25.1 Chief constables are vetted to DV level. The monitoring officer or the chief executive (from the ELPB) is the decision-maker for approving the clearance. The FVM provides support and guidance to the monitoring officer, and manages and coordinates enquiries regarding a chief constable's vetting clearance.
- 7.25.2 The vetting clearance of chief constables may be transferable between forces upon the completion of a vetting health check, as detailed in APP Vetting. The vetting clearance is subjected to annual aftercare. This is managed and coordinated between the FVM and monitoring officer or the chief executive of the ELPB.
- 7.25.3 Appeals against a decision to withhold or withdraw vetting clearance for a chief constable are heard by the Home Office Departmental Security Unit (DSU).

7.26 Reciprocal vetting of chief constables

- 7.26.1 This involves an FVM from another force managing and coordinating vetting enquiries.
- 7.26.2 Where reciprocal arrangements are used, the force conducting the enquiries should make a clearance recommendation. The clearance decision, however, remains with the monitoring officer or the chief executive of the local policing body for the force to which the clearance relates. The complete vetting file should, therefore, be returned to the requesting force in order for the clearance decision to be made.

7.27 Vetting of other chief officers

- 7.27.1 Deputy chief constables should be cleared to DV to enable them to deputise for the chief constable in periods of absence.
- 7.27.2 Other chief officers, both warranted and non-warranted, are vetted to a minimum level of MV and SC. DV clearance may be applied where the post is identified as requiring this level of clearance. The chief constable is the vetting decision-maker for all other warranted and non-warranted chief officers within their force.
- 7.27.3 Responsibility for completing clearance for chief officers other than the chief constable is delegated to the FVM. The chief constable should be consulted over the clearance decision on an exceptional basis, particularly where adverse information has been revealed or consideration is being given to withholding clearance.

7.28 Attendance at the Police National Assessment Centre and Senior Command Course

- 7.28.1 The minimum level of vetting for delegates from UK police forces attending the Police National Assessment Centre (PNAC) and Senior Command Course (SCC) is MV and SC. It is the responsibility of individual forces to ensure that any delegates from the force are vetted to the required standard before their attendance.
- 7.28.2 The College of Policing does not accept any delegates from UK police forces at PNAC or the SCC who are not vetted to the required standard.

7.29 Disclosure and Barring Service checks

- 7.29.1 Where a post meets the criteria for a Disclosure and Barring Service (DBS) check, the RV or MV is sufficient if the post is under the direction and control of the chief officer, as it incorporates checks against the DBS Barred List on the PND. Further DBS checks are not required.

- 7.29.2 If, however, the role is not under the direction and control of the chief officer and it meets the statutory criteria for DBS checks, these will need to be completed through the appropriate channels. This should be done in addition to any NPPV clearance.
- 7.29.3 If police personnel (vetted to RV or MV) are operating for other bodies involved in regulated activity that are not under the direction and control of a chief officer, for example, undertaking voluntary work and working for a charity, their police clearance does not apply and appropriate DBS checks are required.

7.30 Designation of clearance level

- 7.30.1 A review of all posts in force must be conducted to ensure that they have been designated the appropriate vetting level, be that police vetting or police vetting and NSV. A designated posts list displays the outcome of the review. It is important that this is reviewed periodically to ensure that the information is kept up to date.
- 7.30.2 In determining the level of clearance that should be applied to a post, forces should consider the following factors:
- level of access to intelligence concerning covert or sensitive operations
 - level of access to material classified SECRET or above
 - access to source material and true source identities
 - access to information relating to high-profile or sensitive matters, such as royal visits or critical national infrastructure
 - level of access to sensitive personal information
 - level of influence over the management and/or awarding of contracts
 - level of dealings with financial matters, such as access to budgets, authorisation of payments or receipts of income
 - level of access to sensitive material concerning the police service
 - nature and extent to which the role requires working with vulnerable people
 - level of access to IT assets

7.31 Non-police personnel vetting

7.31.1 NPPV assesses the honesty, integrity, reliability and overall suitability for clearance of anyone, other than police officers, police staff and members of the special constabulary, with unsupervised physical or remote access to any of the following:

- police premises
- information
- intelligence
- financial or operational assets
- corporate databases
- data networks or hard-copy material

7.31.2 Non-police personnel include, but are not limited to:

- agency personnel
- statutory crime and disorder partners
- government departments and agencies
- criminal justice partners
- third-party agents
- staff of ELPBs (depending on role)
- contractors
- consultants
- auditors
- external researchers

7.31.3 Costs incurred by a police force when processing vetting checks for contracted staff may be charged to the contractor, in accordance with the NPCC National Guidelines on Charging for Vetting, which are published on the vetting section of The Knowledge Hub.

- 7.31.4 NPPV clearances, completed in accordance with the [Vetting Code of Practice](#) and APP Vetting, are transferrable between forces and also between posts within a force, through either lateral movement or promotion. The full vetting file with the clearance transfers between forces.
- 7.31.5 In cases where non-police personnel work in multiple forces, clearance conducted in one force area can be relied upon by other forces, without the need to transfer clearance.

7.32 NPPV levels

- 7.32.1 There are four NPPV levels:
- NPPV level 1
 - NPPV level 2 (abbreviated)
 - NPPV level 2 (full)
 - NPPV level 3
- 7.32.2 Consideration should be given to the level applied to each role, and to the information, intelligence and other assets to which the individual will have access. This ensures that non-police personnel are not subjected to a disproportionate level of vetting.
- 7.32.3 If non-police personnel decline or refuse to be vetted, their access to police assets will be restricted and they will only be given access to police premises as an escorted visitor.

7.33 NPPV level 1 – checks and enquiries

Applicant	Minimum checks	Access to assets protective marking requirements
<p>Examples may include:</p> <ul style="list-style-type: none"> ■ plumbers ■ electricians ■ vehicle recovery operators ■ removal personnel ■ volunteers (depending on role and risk) 	<p>On applicant only:</p> <ul style="list-style-type: none"> ■ PNC ■ local intelligence and other non-conviction database(s), including counter terrorism ■ PND and other force checks ■ MOD checks where relevant ■ ACRO check where appropriate 	<p>NPPV level 1 does not allow access to classified material.</p>

7.34 NPPV level 2 (abbreviated) – checks and enquiries

Applicant	Minimum checks	Access to assets protective marking requirements
<p>Non-police personnel with no systems access.</p>	<p>On applicant, partner and co-residents (aged 10 years and over):</p> <ul style="list-style-type: none"> ■ PNC ■ local intelligence checks ■ PND and other force checks Counter Terrorism Unit <p>On applicant:</p> <ul style="list-style-type: none"> ■ MOD checks where relevant ■ professional standards checks (as required) ■ CTC may be applied where appropriate ■ ACRO check where applicable 	<p>NPPV level 2 (abbreviated) allows access to police material up to OFFICIAL-SENSITIVE, either on police premises or by remote access.</p> <p>No systems access.</p>

7.35 NPPV level 2 (full) – checks and enquiries

Applicant	Minimum checks	Access to assets protective marking requirements
<p>Non-police personnel with unsupervised access to police systems and premises.</p>	<p>On applicant, partner, all family members and co-residents (aged 10 years and over):</p> <ul style="list-style-type: none"> ■ PNC ■ local intelligence checks ■ PND and other force checks ■ Counter Terrorism Unit <p>On applicant only:</p> <ul style="list-style-type: none"> ■ voters’ records ■ MOD checks where relevant ■ professional standards checks (as required) ■ credit reference check on applicant ■ CTC may be applied where appropriate ■ ACRO check where applicable 	<p>NPPV level 2 (full) allows access to classified police material and information up to OFFICIAL-SENSITIVE, and occasional access to SECRET.</p>

7.36 NPPV level 3 – checks and enquiries

Applicant	Minimum checks	Access to assets protective marking requirements
<p>This applies more to non-police personnel having unsupervised access to police premises and systems. It could include those working in areas where the police roles have been identified as MV posts.</p>	<p>On applicant, partner, all family members and co-residents (aged 10 years and over):</p> <ul style="list-style-type: none"> ■ checks as required for level 2 (full) clearance to be conducted ■ MOD checks where relevant ■ professional standards checks (as required) ■ full financial checks on the applicant ■ aftercare must be carried out for NPPV level 3 clearances ■ ACRO checks where appropriate ■ SC and DV may be applied where appropriate 	<p>NPPV level 3 allows access to classified police material or information up to SECRET and occasional access to TOP SECRET.</p>

7.37 National contractors vetting scheme

7.37.1 The NPCC lead for Vetting has agreed that Warwickshire Police will:

- vet all national police system contractors to a level appropriate to the requirements of APP Vetting
- act as an authority in that respect on behalf of all police forces in England, Wales, Scotland and Northern Ireland

7.37.2 Contractors vetted as part of the National Contractor Vetting Scheme (NCVS) are accepted by all forces. This removes the requirement for forces to duplicate vetting.

7.38 Individuals appointed by the local policing body

7.38.1 The NPPV procedures can also be applied to personnel who are employed or appointed by the ELPB, such as ELPB staff, custody visitors and members of ethics committees. If the subject fails the vetting process, the PCC decides whether or not an individual is suitable for an appointment, after consultation with the chief constable or deputy chief constable (DCC) senior information risk owner (SIRO).

7.38.2 Only the chief constable or the DCC SIRO, with advice from the FVM, can authorise unsupervised access to police information, premises or assets if a subject fails the vetting process.

7.39 Non-police personnel who do not need to be vetted

7.39.1 Non-police personnel do not need to be vetted when they are admitted to police premises, if they are:

- accompanied
- remain under constant supervision
- not permitted access to police information systems or material that is not in the public domain

7.39.2 In these circumstances, existing procedures for the reception of visitors should apply.

7.39.3 Legal representatives and other such persons – for example, appropriate adults – who are in private consultation with their clients do not need to undergo police vetting.

7.39.4 Individuals who are provided police information by the police in the course of their professional duties, solely for the purpose of performing those duties (where that information is not obtained

through direct access or searching police systems themselves), are not required to be subject to police vetting. Those individuals are expected, however, to handle that information in line with the expectations of their professional codes of conduct and the requirements of the DPA and GDPR. Under no circumstances can the requirement for police vetting be negated by a clearance conducted under any other vetting regime.

7.40 Volunteer Police Cadets

- 7.40.1 The Volunteer Police Cadets (VPC) scheme is a national programme for young people between the ages of 9 to 18 years. The NPCC agreed aims and principles clearly define the purpose of the VPC, which includes a key principle that each unit should recruit a minimum of 25% of its cadets from vulnerable backgrounds. It is accepted that this will include young people at risk of offending or reoffending, who may be from families with criminal backgrounds. The VPC scheme therefore operates outside of the [Vetting Code of Practice](#) and APP Vetting. Not all forces have adopted the VPC scheme.
- 7.40.2 The VPC scheme is not a recruitment vehicle for the police service. Cadets will not have unsupervised access to police premises, assets or IT systems. Adult cadet personnel will risk assess and supervise events where cadets are in uniform and could be viewed as representing the force.
- 7.40.3 For those forces that have not adopted the VPC scheme, it is recommended that cadets are subject to NPPV level 1. Vetting decisions should seek to balance findings on the applicant with the aims and principles of the VPC scheme.

7.41 Cadet leaders

- 7.41.1 At 18 years old, cadets have the opportunity to become cadet leaders. Cadet leaders are subjected to NPPV procedures through the FVU. DBS clearance should also be arranged through appropriate channels outside of the FVU.

- 7.41.2 The role of cadet leader is regulated activity under the **Safeguarding Vulnerable Groups Act 2006**. It is a criminal offence to employ an individual in a Regulated Activity role, or allow them to volunteer in such a role, if they are barred by the DBS. While the DBS Barred List is available via the PND, this can only be checked as part of the vetting process for those who are under the direction and control of the chief officer (those subject to RV or MV clearance). Therefore, the DBS barred list cannot be checked for those who are subject of NPPV clearance and a separate DBS check is required for cadet leaders.
- 7.41.3 Where risks are identified during the vetting process for ex-cadets who are applying to become cadet leaders, the VPC coordinator should be consulted. This is to ensure that their record as a cadet is taken into consideration.

8 Decision-making and transparency – force vetting

Vetting decisions should be made in accordance with the NDM. The underpinning principles are outlined in the [Vetting Code of Practice](#). APP Vetting should form the basis of all vetting activity, including decision-making.

8.1 Gathering information and intelligence

- 8.1.1 The information and intelligence to be gathered is specific to each vetting level and to each individual case.
- 8.1.2 Vetting clearance should not be granted until all relevant vetting enquiries have been completed. Forces can withhold clearance as soon as they have collated sufficient evidence to justify that decision. If an appeal is made against the decision, the force should complete any outstanding vetting enquiries before considering the appeal. This ensures that all relevant information is taken into account.
- 8.1.3 However, where it is evident from the outset that completing the outstanding enquiries will not add any value to the appeal, these do not need to be completed.

8.2 Assessing threat and risk

- 8.2.1 Risk is determined by the consideration of three primary factors:
- threat
 - vulnerability
 - impact
- 8.2.2 Acknowledged threats across the police service include:
- police corruption (including noble cause corruption, where the perpetrator of the corrupt act believes that their actions are justified by the outcome of the actions)
 - infiltration

- financial vulnerability
- criminal or other inappropriate association
- substance misuse
- information leakage
- coercion
- abuse of position, including for abuse of position for a sexual purpose (APSP)

8.2.3 FVMs should ensure that they are conversant with their local strategic threat assessment.

8.2.4 Where potential threats are identified, there will be an associated vulnerability.

8.2.5 The level of vulnerability is case-specific and depends on the circumstances of the vetting subject. In assessing risk and vulnerability, forces should consider all possible threats and, where potential threats are identified, assess these when determining the level of risk.

8.3 Convictions and cautions considerations

8.3.1 It is not appropriate to identify a prescriptive list of convictions and cautions that should lead to a vetting rejection. Each case must be considered on its own individual merits in relation to the role being undertaken and the assets being accessed, subject to the rejection criteria highlighted below. The **Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975** does not apply to any police officer posts, including the Special Constabulary, but it does apply to all police staff posts and non-police personnel, in respect of protected cautions and protected convictions only. These do not need to be disclosed by applicants for police staff and non-police personnel roles. If they are disclosed, they must not be considered as part of the vetting process. See below for further detail.

8.3.2 Applications for a position as a police officer, special constable or member of police staff (where that member of police staff may

be in the evidential chain) are to be rejected in all cases where:

- offences were committed as an adult or juvenile that resulted in a prison sentence (including custodial, suspended or deferred sentence and sentences served at a young offenders' institution or community home)
- the applicant is, or has been, a registered sex offender or is subject to a registration requirement in respect of any other conviction

8.3.3 For all other convictions or cautions, there is a rebuttable presumption that applications should be rejected, except where the exceptions of the ROA apply for police staff and non-police personnel (see [8.5](#)). In particular, the following should result in rejection:

- offences where vulnerable people were targeted
- offences motivated by hate or discrimination
- offences of domestic abuse

8.3.4 Where an individual was appointed by a force prior to the release of the APP in October 2017, and where full details of the conviction or caution were provided at the time they applied for their initial role, their re-vetting application should not be rejected on the basis of a previous conviction or caution. However, if seeking a higher vetting level, the prior conviction or caution may be considered and could lead to rejection if relevant.

8.3.5 Particular care should be taken where an individual has been convicted of (or cautioned for) offences of dishonesty, corrupt practice or violence. Although the rebuttable presumption is that these should lead to rejection, there will be cases where this may be disproportionate in the circumstances. For instance, where the offence was committed as a juvenile, it was not serious and the individual has demonstrated a commitment to help individuals or communities in the subsequent years, their vetting acceptance may be justified.

8.4 Risk-based assessment of convictions and caution

8.4.1 Convictions and cautions that are revealed by the applicant should be subjected to a proportionate risk-based assessment that considers the circumstances of the:

- convictions
- cautions
- reprimands
- formal warnings
- final warnings
- fixed penalty notices
- restorative justice sanctions

8.4.2 The assessment should consider both the circumstances of the offence and also the potential effect that those circumstances may have on the applicant's role within the police service, including their suitability to have access to police assets and vulnerable people. The following are examples of what should be considered when making the assessment:

- seriousness of the offence
- level of involvement of the individual in the criminal behaviour
- motivation of the individual in committing the offence
- openness of the individual
- level of clearance required
- length of time that has passed since any convictions have been obtained
- evidence of repeat offending
- impact on public confidence in the force or police service
- relevance of the information to the post for which clearance is required, including unsupervised and unrestricted access to assets and premises

- nature of the role, including involvement in the evidential chain
- the applicant's behaviour in the period since the conviction or caution

8.4.3 The emphasis should be on making a balanced and proportionate decision, based on the information available and in accordance with the principles outlined in the Vetting Code of Practice.

8.4.4 Subject to [8.4.6](#), where a relevant matter is not disclosed – including any convictions, cautions and judicial or other formal disposals, whether spent or not – the subject should be contacted for a vetting interview, usually by telephone. The purpose of this would be to ascertain whether the applicant is able to provide a compelling explanation for the non-disclosure – for example, an oversight, perhaps through misunderstanding of what should be disclosed – as opposed to an intentional attempt to withhold information. The same approach should be taken in respect of the non-disclosure of other relevant information, such as arrests and investigations that have resulted in no further action, financial difficulties, or relevant family members or associates. In cases where there is still doubt, clearance should be refused at this stage on the grounds of integrity concerns. The subject will have the opportunity to appeal against this decision (see below), during which representations can be made in relation to the non-disclosure.

8.4.5 Particular care should also be taken in relation to cautions, reprimands and warnings issued to juveniles. While it is fully accepted that the offence will have been admitted for the caution, reprimand or warning to be issued, the intended purpose of these should not be forgotten. Youth disposals of this nature are designed as a form of early intervention and intended to act as preventative, curative and rehabilitative, as well as promoting welfare. At the time of issuance, the recipient will have been considered to be still forming their moral bearings and this should be borne in mind when considering suitability for clearance. In the unlikely event where the youth disposal is the

sole factor or a significant factor in withholding clearance, a clear rationale should be recorded on the vetting file to document the decision. The potential impact of youth matters on suitability for vetting clearance will diminish with the passage of time. However, there is still the potential integrity element to consider should any such matter not be declared. Where vetting enquiries detect youth cautions, reprimands or warnings that have not been declared, an interview should be conducted to ascertain the reasons for this (see [8.4.4](#)).

- 8.4.6 In respect of those who apply for clearance to work as a member of police staff or in a non-police personnel position, details relating to protected cautions and convictions should not be requested, do not have to be disclosed and should not be taken into consideration. Due to the common confusion on what needs to be declared by police staff and non-police personnel, where integrity concerns exist due to non-declaration, a subject interview to address these concerns should be conducted, usually by telephone, as described above.
- 8.4.7 Applicants will be provided with the opportunity to appeal against the decision to refuse clearance and can set out the reasons for their non-disclosure in their written submission.

8.5 Rehabilitation of offenders

- 8.5.1 While the ROA provides that certain convictions will become spent after a specified period of time, this only applies to police staff and non-police personnel in respect of protected cautions and protected convictions. Where the ROA applies, the applicant is considered rehabilitated. The rehabilitation period depends on the sentence imposed.
- 8.5.2 This means that, once the rehabilitation period has passed:
- the applicant must be treated ‘for all purposes in law’ as though they had never committed the offence
 - the applicant is not required to disclose spent convictions when answering questions relating to their conviction history

- a spent conviction, or failing to disclose one, cannot be used to penalise or exclude a person from any office or employment

- 8.5.3 By virtue of the ROA (Exceptions) Order 1975, the ROA does not apply to individuals applying to become police officers or special constables. These individuals can therefore be asked about all convictions and cautions, whether spent or unspent, and all can be considered in the vetting process, including protected cautions and convictions.
- 8.5.4 For police staff posts (including PCSOs) and non-police personnel, the ROA does apply, but only with regards to protected cautions and convictions. These do not need to be disclosed by applicants for police staff and non-police personnel roles. If they are disclosed, they must not be considered as part of the vetting process. The situation regarding police staff and non-police personnel is thus more complicated.
- 8.5.5 To summarise, in general terms, the ROA does not apply to ‘persons employed for the purposes of, or to assist the constables of, a police force established under any enactment’. Individuals can be asked about spent convictions and they can be considered in the vetting process. However, this does not apply to protected cautions or convictions. People applying to become police staff and those assisting a constable should not be asked about protected cautions or convictions, and these should not be considered in the vetting process.

8.6 CPS Disclosure Manual

- 8.6.1 Guidance to forces on the impact of disclosure of convictions and cautions is provided in Chapter 18 of the [CPS Disclosure Manual](#). The document ensures compliance with the Criminal Procedure and Investigations Act 1996 (CPIA) and provides guidance on all information that will be revealed to the prosecutor. This process is commonly referred to as ‘taint’.

- 8.6.2 The impact of appointing an individual who would be required to disclose convictions and cautions, in accordance with Chapter 18 of the **CPS Disclosure Manual** and the CPIA, cannot be underestimated. It can heavily affect the deployment of such an individual on appointment, and in some cases throughout their career. Generally, the impact will lessen as the time since the finding recedes. When allowing an individual subject to the disclosure requirements to be appointed, they must therefore be made aware of the impact that such a requirement will have on their career.
- 8.6.3 Where the role will not require the subject to be involved in the chain of evidence, the necessity to consider such matters will recede. However, where clearance is granted with known issues that may invoke the requirements of Chapter 18 of the **CPS Disclosure Manual**, the subject should be advised that their ability to subsequently serve in posts that require involvement in the evidential chain may be compromised, and that the clearance may not be transferrable to such posts.
- 8.6.4 Particular care must be taken when clearing a candidate who, under Chapter 18, would have to disclose:
- criminal convictions, criminal cautions and penalty notices for disorder
 - criminal proceedings that have not been completed
 - adverse judicial findings
 - police disciplinary case to answer at a misconduct hearing
 - relevant formal written warnings
 - disciplinary proceedings that have not been completed

8.7 Untested allegations

- 8.7.1 Where the vetting decision is based solely on untested allegations (recorded in the form of intelligence), subject to the below, forces should put the allegations to the applicant, where appropriate, and allow them to respond. This can be done by way of face-to-face interview, telephone interview, email, letter or other appropriate method.

- 8.7.2 In considering the weight to be applied to untested allegations, forces should take the grading of the intelligence into consideration.
- 8.7.3 Forces must take care where revealing the allegations could reveal a source, threaten the wellbeing of a third party, or compromise an operation or investigation. In such circumstances, forces should make the vetting decision without giving the vetting applicant the chance to respond.
- 8.7.4 Where forces decide not to put the information to the vetting subject, they should record the rationale for doing this on the vetting file.

8.8 Other non-conviction data

- 8.8.1 Where the subject has previously come to adverse police attention – for example, been arrested, subject of a criminal allegation, or subject of investigation – but these matters have not resulted in a criminal conviction, a case-by-case assessment will be made.
- 8.8.2 The assessment will include consideration of the:
- number of allegations
 - severity of the allegation(s)
 - credibility of the allegation(s), including whether there is irrefutable evidence to show these are false or malicious
 - reasons for the matters not being progressed
 - amount of time that has passed since the matters being considered
 - age of the subject at the material time
- 8.8.3 It is recommended that an interview is conducted, as outlined in [8.7.1](#), to address any concerns resulting from such an assessment.
- 8.8.4 Membership of a proscribed organisation or other group or association that has aims and objectives that are contrary to the Code of Ethics and standards of professional behaviour will ordinarily result in vetting clearance being withheld.

8.9 Information relating to third parties

8.9.1 When information about an individual (other than the subject) has been supplied or uncovered during the vetting process, they are known as a third party and can include:

- parents
- partners
- siblings
- children
- extended family
- partner's extended family
- cohabitants
- known associates, including individuals with whom they have significant financial arrangements, such as business partners and those who make child support payments

8.9.2 Where adverse information relating to a third party is revealed, consideration must be given to the risk that this information poses to the force, the individual and the public.

8.9.3 If there is potential risk from third parties, forces must consider these cases on their individual merits.

8.9.4 Where vetting clearance is granted with known potential risks relating to third parties, forces should refer to local notifiable associate policies and consider the requirement for a notifiable associate report to be made.

8.10 Relatives and associates

8.10.1 Where an applicant's family members or associates have spent or unspent convictions or cautions for recordable offences, or where there is intelligence suggesting involvement in criminal activity, forces should consider:

- the likelihood that the applicant's performance of duty may be adversely affected, for example, through adverse pressure

or a conflict of interests

- the nature, number and seriousness of the offences or involvement in criminal activity, as well as the time period over which these took place
- the likelihood of damage to the force's operational capability
- the potential for information leakage
- whether the circumstances are likely to bring discredit to, or embarrass, the police service or police force

8.10.2 A decision that an applicant is unsuitable on the basis of a family member's convictions, intelligence material or the applicant's criminal associations is to be made by the FVM or their nominated representative. The results of checks on family members and associates must not be disclosed to an applicant.

8.11 Factors that support granting or refusing clearance

8.11.1 Each case must be decided on its own merits, taking all relevant information into account. The following factors should be considered when deciding to grant or refuse clearance.

Factors against granting clearance

- evidence of joint enterprise
- currency of the third party's convictions or cautions
- currency of intelligence relating to the third party
- gravity of offences committed by the third party
- nature of the relationship between the subject and the third party
- financial relationship between the parties

Factors supporting granting clearance

- evidence of distance between the subject and the third party
- currency of the third party's convictions or cautions

- currency of intelligence relating to the third party
- gravity of offences committed by the third party
- openness of the subject
- ignorance of the third party's activity

8.12 Precedence

8.12.1 If a vetting clearance is granted to an individual who has risks and/or vulnerabilities associated with them, it does not establish a precedent. The vulnerability may mean that the clearance cannot be subsequently transferred to another post. Similarly, where clearance has been granted and there are identified risks, this does not establish a precedent either.

8.13 Disclosure

8.13.1 In extreme cases, it may be pertinent to disclose the information relating to the third party to the applicant. Such a decision should only be made following authorisation from the force data protection officer, having considered all ramifications, including legislative constraints such as the DPA, GDPR and GSC. Information obtained from external agencies should not be disclosed unless authority to do so has been obtained from those agencies.

8.13.2 Where the applicant has omitted to declare an individual whose details are required on vetting forms and adverse information is held about that individual, the assumption should be that the details have been deliberately omitted. This should be treated as a potential integrity issue in the first instance, following the principles set out in [8.4.4](#).

8.14 HM forces

8.14.1 Serving members of the armed forces who are convicted of any criminal offence by a military tribunal normally have any such offence recorded on the PNC. This includes any aspect of a conditional discharge. Further information may be found on the

PND. As a matter of course, forces must also conduct a military or MOD check on all applicants who have previously served in the armed forces.

8.15 Financial checks

8.15.1 These checks are used to assess whether applicants:

- have been, are currently, or are likely to be in financial difficulty
- show signs of financial irresponsibility, to the extent that they could become vulnerable to financial inducement

8.15.2 The credit reference check will provide an overview of the subject's current financial position. It shows details of any bankruptcy and county court judgements. It will also provide an overview of the subject's credit accounts, along with their payment history over the last 12 months, and details of any credit applications that have been recently made.

8.15.3 Credit reference checks provide a snapshot in time and may not reflect the true financial position. There may be some debt that is not included in the credit reference check, and recent payments may not be captured at the time the check is carried out.

8.15.4 Financial checks assess the applicant's financial position:

- at the point of initial application
- as they apply to move to a post requiring a higher level of clearance
- on renewal of clearance
- where further information is received in relation to debt issues

8.15.5 Forces should recognise that a different approach should be taken with those applying at the point of entry into the police service, compared with those applicants already in the organisation. This is because forces are better placed to risk manage those currently holding vetting clearance, owing to the pre-existing relationship and their history being known to

the police service. Where applicants can demonstrate a history of managing their finances with responsibility, integrity and honesty, even if they have experienced debt problems, the final vetting decision can be made proportionately with regard to the vulnerability posed by any debt issue.

- 8.15.6 FVMs should not consider an applicant's financial position for existing staff in isolation. They should take a shared approach involving line managers and welfare, where necessary and where consent is provided, and with appropriate and targeted aftercare in place.
- 8.15.7 The principles outlined above should be applied when considering the potential financial risk relating to those who require NPPV level 2 (full) and NPPV level 3.

8.16 Financial information gathering

- 8.16.1 Financial assessment is based upon information gathered via a financial questionnaire and a credit reference check. The financial questionnaire for MV gathers information in seven areas:
- indications of previous financial unreliability
 - problems meeting current commitments
 - indications of poor financial judgement
 - potential for future financial difficulties
 - assets possibly inconsistent with income
 - potential conflict of interests
 - business interests
- 8.16.2 When financial information has been provided in confidence as part of the vetting process, the risk of compromise is significantly reduced. Applicants should be reassured that there is no need to be concerned about mortgage and credit card commitments that are in line with their income, providing they meet these commitments. Debts only become a problem where they are substantial and individuals fail to take remedial action, or where they are caused by compulsive behaviour, such as gambling.

- 8.16.3 Where forces note anomalies between an applicant's declarations and the information provided by the credit check, or where there is a need to clarify a particular issue, they should interview the individual concerned.
- 8.16.4 Where potential vulnerability is identified in relation to debt, FVMs should assess the affordability of the debt against income.
- 8.16.5 For MV clearances, where concerns are held due to the information declared by the subject, or following the credit reference check, forces are recommended to consider using a financial scoring system to support their decision making.
- 8.16.6 The above principles should also be applied to those who require NPPV level 3 clearance.

8.17 Financial checks for recruitment vetting

- 8.17.1 At the point of entry into the police service, financial checks identify potential vulnerabilities, such as financial difficulties among recruits. Paragraph 4 of Schedule 1 to the Police Regulations 2003 states that a member of a police force shall not wilfully refuse or neglect to discharge any lawful debt. This applies only to police officers, not police staff.
- 8.17.2 When considering an application for RV clearance, applicants who can show they have adhered, and are adhering to, debt management arrangements may be considered. Documentary evidence should be provided to demonstrate their commitment and adherence to any such debt management arrangements.
- 8.17.3 Dependent upon the specific circumstances of the case, it is unlikely that clearance will be granted at RV, MV, NPPV level 2 (full) or NPPV level 3, if the subject:
- has existing county court judgments outstanding against them
 - has been registered bankrupt and have not discharged their bankruptcy

8.18 Bankruptcy

- 8.18.1 Applicants who have been registered as bankrupt, and whose bankruptcy debts have been discharged, are unlikely to receive clearance until three years after the discharge of the debt. Debt relief orders (DROs) are treated in the same way as a bankruptcy.

8.19 Individual voluntary agreement

- 8.19.1 FVMs should give careful consideration if a credit reference check reveals that an applicant has a current individual voluntary arrangement (IVA). Where an IVA repayment plan is in place, FVMs should satisfy themselves that the applicant has maintained regular payments over a number of months before making clearance decisions.

8.20 Defaulted payments

- 8.20.1 FVMs should give careful consideration if a credit reference check reveals that an applicant has defaulted on an account. Where debt management plans are in place, FVMs should satisfy themselves that the applicant has maintained regular payments over a number of months before making clearance decisions.

8.21 Financial check considerations for serving personnel

- 8.21.1 Every force should have a policy on unmanageable debt, to further encourage existing personnel to report their financial difficulties. This is usually owned by the professional standards department. Forces should have welfare assistance in place to support personnel who are facing debt-related issues.
- 8.21.2 Where debt-related issues are identified for serving personnel as part of the re-vet process, FVMs should consider conducting an interview with the subject, who may be supported by their staff association, trade union representative or police friend if they wish.

8.22 Indicators of potential financial vulnerability

8.22.1 Each application should be assessed using all available information and should consider:

- the degree of risk presented by the amount and the ability to meet payment commitments
- the force's appetite for risk
- the force counter corruption strategy

8.22.2 When considering the financial vulnerability of applicants, FVMs should consider relevant issues, including the following.

- Is the applicant currently seeking credit? If so, the FVM should look at the number of searches.
- How many new credit accounts has the applicant opened in the last six months?
- Are these new accounts already at their limits?
- Are all cards up to their limit? If so, is the applicant making minimum payments only and are they managing on a month-to-month basis, or are they living off credit and using it for everyday commitments?
- Is the applicant overdrawn on their current account or beyond their agreed overdraft limit? If so, is this regular (ie, do they rely on it to manage)?
- Are there multiple or repeated arrangements showing on their credit file?
- Is there any evidence of payday loans?
- Are there any gone away information (GAIN) markers on their credit file?
- Is the applicant generally meeting commitments but with a poor payment history of missed and late payments?

8.22.3 A financial scoring template assists forces in assessing potential financial vulnerability, where required.

- 8.22.4 When re-vetting, risk is reduced where the applicant openly declares debt-related issues and takes steps to address them. FVMs should clearly document all decisions, including their rationale.
- 8.22.5 If possible, and with the applicant's agreement, the FVM should refer the management of the problem within the workplace through the relevant line manager and welfare support, in accordance with local debt management policies, as opposed to a decision to refuse vetting clearance. If the applicant refuses to consent to such a management process, the FVM should consider withholding vetting clearance.

8.23 Financial check considerations for management vetting

- 8.23.1 In considering MV applications, the above principles should be followed.
- 8.23.2 Attention should be paid to the answers given in the financial questionnaire. The purpose of MV is to assess the potential for future financial vulnerability, which may make the subject susceptible to financial coercion. While the subject may be able to meet credit commitments at the present time, consideration should be given to their ability to continue to meet commitments going forwards.
- 8.23.3 Forces may benefit from using a financial scoring system in relation to MV applications, where potential financial vulnerability is identified.

8.24 Financial check considerations for non-police personnel

- 8.24.1 Financial checks are required for NPPV level 2 (full) and NPPV level 3. The same principles should be applied to this process as for the vetting of serving officers. It should be noted, however, that paragraph 4 of Schedule 1 to the Police Regulations 2003 only applies to police officers and not police staff or non-police personnel.

8.24.2 Non-police personnel potentially present a greater level of risk. Due to the fact that non-police personnel, by definition, are not appointed to or employed by the force, it may not be possible to undertake a more holistic risk management approach involving welfare support and line management. As such, forces should ensure they are satisfied that potential risks are robustly mitigated in their approach to non-police personnel.

8.25 Financial checks for national security vetting

8.25.1 The current policy for NSV is detailed in the Cabinet Office Security Policy Framework. Financial checks form part of the SC and DV processes.

8.25.2 Forces should only finalise SC or DV level once MV clearance is granted. Where clearances are being considered consecutively, forces carry out the financial vetting check as part of the MV process.

8.26 Vetting interviews

8.26.1 Vetting interviews may be used to inform any type of vetting application. Not all applications require a vetting interview, but one should be considered where vetting information raises questions or doubts about particular issues.

8.26.2 Interviews conducted as part of the initial process to grant national security DV clearance must only be conducted by suitably trained and accredited United Kingdom Security Vetting (UKSV) personnel. Following the report and recommendation from UKSV, it may be necessary for a follow-up interview by the vetting unit to clarify any ambiguities.

8.26.3 The interview may be conducted on a face-to-face basis. However, due to the logistics of arranging this, interviews can also be conducted by telecommunications (either audio or video).

- 8.26.4 The vetting subject should be provided with the opportunity to be accompanied by a police friend, or by a staff association or trade union representative. For the purposes of vetting interviews, for internal subjects, a 'friend' should be a serving member of a police force who is independent to the vetting process. For external subjects, they may bring a friend or other such person, although they do not need to be police personnel. In such cases, consideration will need to be given to data protection if third-party information is being discussed during the interview.
- 8.26.5 In all cases where the subject is known to be from an under-represented group, including external applicants, it may be beneficial to consult the relevant staff association(s) or trade unions in advance of the interview to seek professional guidance on any matters particular to the protected characteristic(s), as this may have relevance to the vetting decision.

8.27 Preparation for the vetting interview

- 8.27.1 Forces should conduct interviews after the completion of all vetting checks, to ensure that the interviewer has all available information before the interview. Thorough interview preparation is essential. This means that the interviewer must not only review all relevant information, but must also seek to establish an appropriately professional relationship with the applicant before the interview. Appropriate pre-interview communication, from either the interviewer or person arranging the interview, sets the tone for all subsequent contact.
- 8.27.2 If a vetting interview is conducted before all relevant information is available, it may be necessary to conduct a second interview if there are unresolved concerns.

8.28 Conducting the vetting interview

- 8.28.1 It is recommended that vetting interviews are not conducted on a one-to-one basis.

- 8.28.2 The interviewer should take time to explain the principles and process of vetting procedures to applicants, as well as the necessity for enquiries to cover each of the areas. They should explain the reasons for the interview and the sensitive nature of some of the questions, and should seek consent to proceed. If an applicant indicates that they find it difficult to discuss a matter, every effort should be made to discover whether the process might be made easier by using a different interviewer (for example, one of the same sex as the subject). The interviewer should accommodate and document such requests wherever practicable.
- 8.28.3 The information below has been developed from professional experience.

8.29 Establishing rapport and cooperation

- 8.29.1 To obtain and retain a subject's full cooperation, interviews should be handled with sensitivity and must not become an interrogation. Interviewers must emphasise that information revealed during a vetting inquiry is confidential, although any disclosures of criminal activity or misconduct will be referred to the appropriate investigating authority. The way in which interviewers deal with sensitive information may dictate the extent to which people will entrust them with it. Those conducting the interview should never make assumptions or display a judgemental stance. They must display neutrality, while appreciating the sensitivity and importance of the interview.
- 8.29.2 The interviewer should remember that the applicant is being asked to speak about matters that they might not even discuss with close family and friends. It is, therefore, important to establish a rapport with the subject. The manner and style of communication used by the interviewer may have a greater impact on the cooperation of the individual than any verbal assurances of confidentiality.

8.30 Beginning the interview – the importance of honesty

- 8.30.1 The success of the vetting interview, as with other aspects of vetting, depends largely on the honesty of the subject. Interviewers must make clear to the applicant at the beginning of the interview that absolute honesty is required and that deceit at any stage of the process may affect their application. Lying, concealing the truth or deliberately withholding information when completing applications and vetting forms, or during a vetting interview, is a very serious matter whether it comes to light immediately or later.
- 8.30.2 The interviewer should make clear that, if applicants provide information that may cause security concerns, this does not necessarily mean that their application will be declined. Each case will be considered on its own merits.

8.31 Reviewing the information provided

- 8.31.1 The applicant should be taken through the forms they have completed and asked whether there are any inaccuracies they wish to correct or if there have been any changes in circumstances since completing the forms.

8.32 Checking understanding

- 8.32.1 The interviewer should make sure that the applicant has understood all the questions asked. The nature of the questions will be case-specific.

8.33 Questioning

- 8.33.1 The areas to be explored vary between applicants but may include one or more of the following:
- career to date, including satisfaction or dissatisfaction with the employer
 - relationships (eg, marriage or cohabitation, family, friends and associates)

- personal circumstances (eg, domestic arrangements)
- lifestyle (eg, foreign travel and contacts, drug and alcohol use, hobbies, sports, study)
- criminal activity
- personal beliefs (eg, political extremism)
- actual or potential conflicts of interest
- financial circumstances

8.33.2 Interviewers should also be prepared to be flexible to meet unexpected demands. Allowing the applicant free rein to express their views can be a useful source of information. It may be beneficial to enable the subject to take a break, particularly if they become emotional.

8.33.3 The rationale for discussing sensitive matters should be fully explained at a vetting interview, to satisfy the applicant that these issues in themselves would not preclude a successful vetting process. The focus of the questions must be on those areas linked to the decision-making process. The interviewer should avoid seeking unnecessary detail on irrelevant issues.

8.33.4 If an applicant refuses to discuss a relevant matter, the interviewer should point out that the force will have no alternative but to take this into account in reaching a decision. This might lead to the refusal of clearance.

8.34 Additional considerations

8.34.1 The interviewer should approach questions relating to an applicant's disability, religion or belief, race or another protected characteristic with caution, and avoid them unless absolutely necessary to facilitate the vetting process. Interviewers must be particularly aware of the potential for direct and indirect discrimination and unconscious bias.

8.34.2 Any issues relating to the subject's health should be referred to occupational health for assessment.

8.34.3 Interviewers should ensure that legislative requirements, such as the DPA and GDPR, are not breached during the interview process.

8.35 Concluding the interview

8.35.1 Interviewers should always conclude the interview by establishing whether the applicant is content with the manner in which it has been conducted. This provides an opportunity to clear up any misunderstanding, provides feedback about the performance of the interviewer and reduces the likelihood of a subsequent complaint.

8.36 Reports and note-taking

8.36.1 Subsequent reports or interview notes should be free of prejudicial language and subjective value judgements. They should include the rationale and evidence for making or reaching a particular decision or conclusion. Reports should be shared on request with the applicant unless there is a specific reason not to do so.

8.36.2 Vetting applicants should be provided with a copy of the interview notes, in the interests of transparency. Where possible, the vetting applicant should be asked to sign a copy of the notes to confirm the accuracy of what was discussed.

8.37 The vetting decision

8.37.1 The primary options available are to either grant or refuse clearance. Additional research, vetting enquiries or a vetting interview can, however, be conducted before a decision about vetting clearance is made. It may be appropriate in certain circumstances to grant clearance subject to restrictions, such as geographical or other posting restrictions. The decision-maker should review the case and decide whether or not to grant clearance. Before making a final decision, the decision-maker may ask for additional checks or enquiries, such as calling the applicant in for an interview or asking for personal referees.

- 8.37.2 Forces should take care when considering information revealed as part of the vetting process that relates to an individual's mental or physical health, especially if this indicates a vulnerability that could result in the applicant being unsuitable for appointment by the force. Neither police officers nor FVMs are qualified to assess medical conditions or mental health. Any medical information revealed as part of the vetting process, such as intelligence reports or allegations, must be passed to the FMO or OHU for a full, professional assessment. The remaining vetting enquiries should be completed and clearance should be finalised.
- 8.37.3 Following assessment, the FMO or OHU should decide if the applicant is suitable for appointment by the force. Under no circumstances should any personal medical information be passed to FVUs by the FMO or OHU.
- 8.37.4 In assessing information and intelligence revealed as part of the vetting process, forces should apply a two-stage test.
1. Are there reasonable grounds for suspecting that the applicant, a family member or other relevant associate:
 - is or has been involved in criminal activity
 - has financial vulnerabilities (applicant only)
 - is, or has been, subjected to any adverse information
 2. If so, is it appropriate, in all the circumstances, to refuse vetting clearance?
- 8.37.5 The existence of a criminal record would clearly indicate reasonable grounds for concluding that the individual is, or has been, involved in criminal activity. Intelligence and other non-conviction information may also lead to reasonable grounds for suspecting involvement in criminal activity.
- 8.37.6 Forces should assess such information on a case-by-case basis, taking into account the exact circumstances of the case and nature of the information revealed.

8.38 Factors requiring particular scrutiny

8.38.1 While each case needs to be considered on its own merits, bearing in mind the role and assets to be accessed, the case should receive particular scrutiny if any of the following factors are present. In most cases, the presence of one of these factors will probably lead to a vetting rejection. In cases where one of the following factors is present but it is decided this should not lead to a vetting rejection (perhaps because risk mitigating measures can be applied), the full rationale must be recorded and the decision approved by the FVM. These factors are:

- past infringement of security or vetting policy or procedures
- significant or repeated performance matters
- significant adverse complaint or conduct history
- providing false or deliberately misleading information, or omitting significant information from the vetting questionnaires
- unauthorised association with people with previous convictions or who are reasonably suspected of being involved in crime
- other identified areas of concerns (eg, drug and alcohol misuse)
- abuse of position
- previous breaches of the Code of Ethics
- adverse counter corruption intelligence
- financial vulnerability
- identified conflict of interest
- other inappropriate behaviour that impinges on a person's suitability to serve in the role

8.39 Circumstances that may impair judgement

8.39.1 The following factors can impair an individual's judgement, which may lead to them being vulnerable to pressures, inducements or bribes:

- financial difficulties or unmanageable debts
- misuse of alcohol
- gambling
- misuse of controlled or prescribed drugs

8.40 Assessing the criteria for trustworthiness

8.40.1 Before forces grant clearances, the following factors should be taken into account:

- security implications of any adverse information obtained during the vetting process (for example, it may be necessary to give greater weight to some factors more than others)
- significance of any past conduct or circumstances
- distinctions between isolated or minor blemishes on an individual's record and information pointing to habitual or significant vulnerabilities

8.41 Risk mitigation strategies

8.41.1 Where a decision is made to grant clearance following assessment of identified potential risk (as outlined above), a risk mitigation strategy must be considered to determine whether clearance can be granted with reasonable, proportionate, measurable and manageable mitigations in place.

8.41.2 Such strategies will be case-specific, but may include geographical posting restrictions, additional aftercare and reporting requirements, and engagement with supervisors and welfare departments. Attention should also be given to local unmanageable debt and notifiable or reportable association policies.

- 8.41.3 In such cases, where it is possible to discuss the potential risk with the subject, it is advised that a vetting interview be carried out to further the understanding of the subject's knowledge of the identified potential risk areas. The relevant staff associations or trade unions may be consulted in order to advance the interviewer's or decision maker's understanding of relevant cultural issues or other matters relevant to any known protected characteristics.
- 8.41.4 The purpose of this is to assist in the risk assessment process so there is an understanding of the vulnerability, threat and potential impact on the force, the public and the individual.
- 8.41.5 Notification to third parties, such as the line manager, of identified risks relating directly to the subject should only be made with the subject's consent, where it has been possible to discuss the matters with the subject. However, referral of such matters to PSD or counter corruption, in accordance with usual business practice, does not require consent. Similarly, notifying line managers of potential risks relating to third parties does not require consent from the subject.
- 8.41.6 For the purposes of transparency, the subject should be made aware of any risk management strategy and the reasons for it. It is advisable that the subject signs to confirm they are aware of it.
- 8.41.7 Any risk management strategy should be subject of defined periodic review and amendment, as appropriate. The timescales for the review(s) will be case-specific.

8.42 Delays in appointment

- 8.42.1 Owing to the length of time that the recruitment process can take, some individuals may not be appointed for several months after vetting checks have been conducted. While candidates are required to let the force know of any material changes prior to appointment, where there is such a delay, applicants and candidates should be subject to further additional processes (for example, by repeating or conducting further checks, and

by prompting applicants to report any material changes prior to appointment). This consideration should take account of the amount of time that has passed between the original vetting check and the date of appointment. In addition, if further information comes to light during the pre-appointment period that could call into question any previously made vetting checks or decisions, forces should consider whether additional checks or full re-vetting is required, dependent on the specifics of the individual case.

- 8.42.2 Where clearance is completed six months or more before appointment, enquiries in respect of the subject are to be recompleted.
- 8.42.3 It may be appropriate to recomplete enquiries in respect of other individuals named on the vetting form, dependent on the specific circumstances of the case.
- 8.42.4 Where there has been a significant time gap between the subject completing the vetting questionnaire and vetting enquiries commencing, it may be prudent to contact the subject to confirm there has not been any change in circumstances.

8.43 Communicating the decision

- 8.43.1 If vetting clearance is refused or withheld, the vetting applicant must be informed of the reasons at the time of the decision or on request, dependent on local procedure, unless there is valid reason not to do so. Information relating to the subject should only be withheld in accordance with data protection. Where forces cannot provide the full rationale, they must give as much information as possible. Forces must also inform the applicant that the decision not to provide the full reasoning has been made following careful consideration. Forces can withhold the rationale for the decision if it would:
- damage national security
 - result in the force breaking any law
 - frustrate the prevention or detection of crime

- impede the apprehension or prosecution of offenders
- result in the disclosure of sensitive information
- breach the confidentiality of any information provided in confidence

8.43.2 Correspondence with the vetting applicant should state that the decision has been made in accordance with APP Vetting and the guidance should be referenced. The vetting applicant must be informed of their right to appeal against the decision to withhold or refuse clearance.

8.44 Appeals

8.44.1 An appeals process must be made available where vetting clearance, at any level, is refused or withdrawn (a sample vetting appeal form is available in [sample letter of consent to be returned signed by prospective police officers and special constables: taking of fingerprints and DNA](#)). Appeal processes are not applicable to NSV for external applicants, although it would be considered good practice to make a process available.

8.44.2 There are four grounds upon which appeals should be based:

- further information is available that was not considered by the original decision maker
- the decision is disproportionate considering the circumstances or details of the case
- the decision was perverse or unreasonable
- no explanation has been given for the decision

8.44.3 The subject must explain why the grounds apply in their particular case.

Conducting appeals

8.44.4 Appeals should be considered by an individual of suitable seniority who:

- is independent of the original decision-making process

- has not been previously involved in any aspect of the case
- has a working knowledge of the Vetting Code of Practice and APP

8.44.5 This will ensure that the transparency and integrity of the appeals process is maintained.

8.44.6 Decisions that are made on appeal are final.

8.44.7 The result of the appeal should be communicated to the subject directly by the person considering the appeal, rather than through the original decision maker. The subject should be provided with as much information as possible, as outlined above.

Existing police personnel

8.44.8 Where clearance is refused or withdrawn for existing police personnel, they can appeal if one or more of the above factors apply. Personal representations may be allowed, but this is at the discretion of the individual considering that appeal. Support will be available from staff associations and trade unions.

8.44.9 Transfers between forces are voluntary arrangements with no automatic right of appeal. Where the decision to discontinue the transfer application is based on vetting concerns, however, an appeal process should be made available.

Other applicants

8.44.10 In most cases, the appeals process for other applicants is paper-based and the applicant can make written representations. Personal representation is allowed (at the discretion of the individual considering the appeal), but only if they are satisfied it will add value to the process.

8.44.11 All appeals are dealt with as promptly as possible.

8.45 Suspension of clearance

8.45.1 Where adverse information is revealed after clearance has been granted, it may be appropriate for forces to suspend vetting

clearance. Forces will only do this following a review of all relevant information known at that time, in conjunction with PSDs.

- 8.45.2 For force vetting levels, the vetting applicant is given the opportunity to make representations against the initial decision to suspend clearance, and at any time during the course of suspension. This takes place if they reasonably believe that their circumstances have changed and suspension is no longer appropriate.
- 8.45.3 Where clearance is suspended, forces should risk assess the situation and consider appropriate redeployment, depending on the individual circumstances of the case.
- 8.45.4 Forces will review suspended clearances at least once a month to ensure that the reasons for the suspension are still valid. A review is carried out to check that the suspended clearance is still appropriate. Vetting clearance will not be suspended for any longer than is necessary and reasonable.

8.46 Refusing and withdrawing clearance

- 8.46.1 Vetting clearances can be refused or withdrawn at any level.
- 8.46.2 Where RV clearance is withdrawn, consideration must be given to whether the identified risk(s) can be mitigated by placing conditions on clearance and/or using close supervision. When an MV is withdrawn, consideration must be given to alternative deployment to a role where the withdrawn clearance level is not required. In such circumstances, assessment must also be made in respect of the subject's continued suitability to hold RV clearance.
- 8.46.3 The vetting applicant may submit a written appeal against the decision. On appeal, the applicant has the right to ask for the rationale behind the decision and should be provided with the information if the following apply:
- there is no risk to national security
 - no laws are broken

- it does not frustrate the prevention or detection of a crime
- it will not impede the apprehension or prosecution of offenders
- it will not result in the disclosure of sensitive information
- it will not breach the confidentiality of any information provided

8.46.4 Where NSV clearance is withdrawn by forces, information regarding an appeal to SVAP should be given to the individual. If an individual refuses to engage in the vetting process, their vetting clearance should be refused or withdrawn. The internal appeal process must be exhausted before appeal to SVAP is available.

8.47 Employment Rights Act 1996 and Police (Performance) Regulations 2020

8.47.1 Where vetting clearance is withdrawn or refused on renewal for existing personnel, a different process will need to be followed for police officers and police staff. If vetting clearance is refused at RV, unsupervised access to police assets, including premises, information and systems, cannot be granted. If MV clearance is withdrawn, consideration must be given to whether RV clearance can be granted.

8.47.2 For police staff, withdrawing RV clearance may lead to dismissal under **section 98 of the Employment Rights Act 1996 (ERA)**. This would ultimately occur when the force decides that alternative employment is not possible and/or the risk cannot be managed.

8.47.3 The ERA does not apply to police officers or special constables. Therefore, when clearance is withdrawn and suitable alternative employment cannot be identified, and/or the risk cannot be reasonably managed, the force should consider proceedings under the **Police (Performance) Regulations 2020**.

8.47.4 When a police officer's or special constable's RV clearance is withdrawn, they will be unable to access police information and systems. Unsupervised access to police premises will also not

be permitted. As a result, the police officer will be unable to perform their role to a satisfactory level. This could, therefore, amount to gross incompetence and a third-stage meeting should be considered.

- 8.47.5 In cases where RV clearance is withdrawn and the risk cannot be managed, the matter should be referred to HR for progression.

8.48 Aftercare

- 8.48.1 Vetting is based on a snapshot in time. Because an individual's circumstances can change, it is important that their ability to maintain their security clearance is assessed. A comprehensive aftercare regime allows such assessments to be made. Aftercare is therefore an important part of any vetting process, and is the responsibility of both the vetting subject and the FVM.
- 8.48.2 All individuals who are subjected to the vetting process must report any changes in their personal circumstances. This can include changes in marital status or civil partnership, name or address, and financial status (such as a county court judgment or participation in a debt management plan). Failing to report such changes may result in an individual's vetting clearance being downgraded or withdrawn. To enable sensitive and honest disclosures to be made during the aftercare regime, it is important that there are confidential processes in place.
- 8.48.3 In addition to making disclosures after vetting clearance has been granted, individuals holding MV clearance should be subjected to review at least twice during the validity of the clearance. Any MV conducted in conjunction with SC or DV clearance must be subject of annual review alongside the review of the SC or DV. It is not necessary to complete two reviews per year for MV and SC clearances or MV and DV clearances. Forces should have a programme in place to ensure that all applicable posts are subjected to review during the lifetime of the clearance. NPPV3 should also be reviewed at least twice during the validity of the clearance.

- 8.48.4 Forces may review or renew RV, MV or NPPV clearance before the review or renewal date, if adverse information comes to light relating to the subject, or if there is a material change in an individual's personal circumstances.
- 8.48.5 The FVM reserves the right to conduct personal interviews for any relevant change in circumstances following the awarding of the initial vetting clearance.

Aftercare for non-police vetting

- 8.48.6 NPPV level 1, NPPV level 2 (abbreviated) and NPPV level 2 (full) do not require aftercare, but NPPV level 3 does. NPPV level 3 should be subject to review at least twice during the validity of the clearance.
- 8.48.7 Changes in the personal circumstances of individuals holding NPPV clearance may, however, affect their continued suitability to hold that clearance. They must, therefore, report in writing to the FVM any relevant changes, including spouses or partners, changes of address, criminal associations, or other matters that may affect their suitability to maintain their current vetting clearance.
- 8.48.8 Forces may review or renew NPPV clearance before the review or renewal date.
- 8.48.9 Forces should inform individuals that adverse changes in circumstances, or failure to report such changes, could result in the withdrawal of their vetting clearance.

8.49 Renewing clearance

- 8.49.1 Clearances are valid for a limited period and require renewal after that period has elapsed. The table below summarises the periods at which different vetting clearances should be renewed.

Clearance level	Renewal period
RV	10 years
CTC (for police personnel)	10 years
CTC (for non-police personnel)	5 years
MV	7 years
SC (for police personnel)	10 years
SC (for non-police personnel)	5 years
DV	7 years
NPPV1	up to 3 years
NPPV2 (abbreviated)	3 years
NPPV2 (full)	3 years
NPPV3	7 years

8.49.2 A renewal of vetting clearance requires a full application to be completed. All required checks pertinent to that particular level of vetting must be recompleted.

8.50 Reviewing vetting clearance following misconduct

8.50.1 Following the conclusion of a misconduct hearing or meeting where the officer, special constable or member of staff is not dismissed but has been issued with a written warning or a final written warning, a review of vetting clearance should be carried out. The review includes a consideration of the applicant's suitability to maintain the level of clearance held and to continue in the post they occupy.

8.51 Flagstone records

8.51.1 A particular risk to the police service is the re-employment or appointment of individuals who have resigned, retired or been dismissed while the subject of a gross misconduct investigation. The requirements of the Barred and Advisory List legislation must be adhered to. This legislation bars a force or relevant body from appointing or employing anyone on the Barred List, and requires them to consider the circumstances around any entry on the Advisory List. PND flagstone records must be created on local intelligence systems or the PND in line with the [National PND Flagstone Submissions Guidance](#) and the College of Policing Barred and Advisory Lists Procedural Guidance, which can be found on The Knowledge Hub. The Head of PSD should consider all available information and determine whether or not a flagstone record is required.

8.52 Transferring vetting clearance

8.52.1 Police personnel moving from one post to another that does not require an enhanced level of vetting, either through transfer or promotion, do not need to be re-vetted as a matter of course. The FVM should liaise with HR to ensure that, when moves are agreed, there is a process in place that ensures consideration is given to any vetting requirements there may be. Where a risk assessment is considered necessary, forces may wish to include PNC, PND, professional standards, counter corruption and credit reference checks on the applicant. Risk assessments should also consider any risks that were previously identified, such as those associated with geographical location, concerning the applicant and third parties.

8.52.2 Clearance for police personnel who are seconded to other forces or agencies can be shared with the receiving force or agency. In cases where the police staff member is taking employment with another force or where police officers are transferring forces, the vetting clearance is portable (subject to the conditions given at [7.13](#)).

8.53 Transfer of Undertaking (Protection of Employment) Regulations

- 8.53.1 There will be occasions where individuals employed by an external agency or another force come under the new employment of a force via the Transfer of Undertaking (Protection of Employment) Regulations (TUPE).
- 8.53.2 In all such cases, vetting to the appropriate level must be considered.
- 8.53.3 For police staff transferring between forces, the guidance above in respect of transferees should be followed. This must include a check of professional standards and counter corruption records.
- 8.53.4 Where it is evident that vetting clearance will not be granted, full consultation must be undertaken with the relevant HR departments at the earliest opportunity.
- 8.53.5 There are two possible avenues to be explored:
- the potential for the subject to remain with the current employer
 - progressing the transfer, which would ultimately lead to dismissal

8.54 Vetting health checks

- 8.54.1 As a minimum, vetting applicant health checks should include PNC, PND, professional standards, counter corruption and credit reference checks. Health checks should also consider any risks that were previously identified, such as those associated with geographical location, concerning the applicant and third parties.

8.55 Career break

- 8.55.1 Policies and procedures relating to career break and extended periods of absence are owned and administered by force HR departments. A career break is an extended period of leave from work that begins with an intention to resume working on an agreed date and is open to both police officers and police staff.

- 8.55.2 Individuals taking a career break continue to be regarded as serving police officers or employees of the force, and remain subject to the following:
- the Police (Conduct) Regulations 2020
 - the Police Staff Handbook and force conditions of service
 - the Code of Ethics and Standards of Professional Behaviour
 - the Vetting Code of Practice
 - APP Vetting
- 8.55.3 Individuals who have taken a career break must submit a vetting application before their return. The application should be clearly marked, indicating the length of time for which the police staff member or police officer has been on a career break, as well as the details of any time spent out of the country.
- 8.55.4 Police officers cannot be prevented from returning to duty from a career break. It is advisable, therefore, to ensure that any vetting process, if applicable and where possible, is completed before any return to duty.
- 8.55.5 If any adverse information likely to result in disciplinary action or misconduct proceedings is found or declared during the vetting process, the FVM should immediately notify the PSD. The vetting process may also identify aftercare requirements, such as financial reviews. If the adverse information relates to NSV, the force should take appropriate measures, as outlined in the Security Policy Framework (SPF).
- 8.55.6 Forces should take a risk management approach, as opposed to a risk-averse one. They should take into account the fact that the individual has been duty-bound to report notifiable matters to the force during this period, and also that the force has knowledge of the individual through their previous service.

8.56 Extended absence

- 8.56.1 A vetting health check must be conducted on individuals who have been out of force for 12 months or more. This can include individuals who have been on secondment, a career break or any other extended period of absence.
- 8.56.2 Forces can reserve the right to require a full re-vet of those who are returning following an extended period of absence. Biometric vetting is not applied to officers who are transferring between forces or returning from a period of absence.

9 National security vetting

NSV is specifically required for access to government assets. The NSV has been designed to counter threats to government assets and therefore offers very limited assurance in respect of police assets. This is due to the limited information sources that are interrogated during the NSV process compared to force vetting, as well as the limited reference to police databases and distinct decision-making process. Force vetting has been designed to counter a wider threat profile, with a number of identified threats that are unique to law enforcement. As such, NSV in isolation does not enable any access to police assets.

Forces should be cognisant of the above when considering applying NSV clearance to posts. NSV should only be sought where the criteria set out below are met.

9.1 NSV levels

9.1.1 There are three NSV levels. These are:

- counter-terrorist check
- security check
- developed vetting

9.1.2 The requirements of NSV levels are contained in the [**Cabinet Office Security Policy Framework \(SPF\)**](#).

9.1.3 Where a person requires SC, or DV clearance, they must also have MV. The relevant level of force vetting must be cleared before starting NSV clearance, although operational timescales may mean that NSV clearance is initiated before force clearance is granted.

9.2 Appeals procedure

9.2.1 Forces must have an appropriate appeals procedure for existing personnel when NSV clearance is withheld or withdrawn. If the applicant is dissatisfied with the result of their appeal, they have

the right to appeal to the SVAP. It is not mandatory to have an internal appeals procedure for external applicants applying for NSV clearance, although it would be considered good practice to do so in the interests of natural justice and procedural fairness.

9.3 Counter terrorist check

9.3.1 CTC clearance is required for individuals who are to be appointed to posts that:

- involve proximity to public figures who are assessed to be at particular risk from terrorist attack
- have access to information or material assessed to be of value to terrorists
- involve unescorted access to certain military, civil, industrial or commercial establishments assessed to be at risk from terrorist attack

9.3.2 For the police service, this means all police personnel and non-police personnel whose work involves access as described above. The CTC process is contained in the enquiries for SC and DV. There is no requirement to conduct a separate CTC clearance for those who hold SC or DV.

9.3.3 It is not intended that all police personnel should be CTC cleared as a matter of course. It is, however, important that individual forces create a designated posts list by assessing all posts in the force and identifying those that fall within the criteria. It is only these that should be subjected to CTC clearance. Responsibility for the decision on whether a CTC is required for an individual or an identified role rests with the chief officer, delegated to the FVM.

9.4 Security check

9.4.1 SC clearance is required for individuals who are to be appointed to posts that require:

- long-term, frequent and uncontrolled access to government assets marked SECRET

- occasional, supervised access to government assets marked TOP SECRET (such as a chief constable's staff officer and some Counter Terrorism Unit staff)

9.4.2 SC clearance is also required for individuals who:

- while not in such posts, will be in a position to directly or indirectly bring about the same degree of damage
- will have sufficient knowledge to obtain a comprehensive picture of a SECRET plan, policy or project
- are being considered for appointment where it would not be possible to make reasonable career progress without security clearance for access to government assets marked SECRET
- need access to certain levels of classified material originating from another country or international organisation

9.4.3 SC clearance should not normally be required for:

- occasional access to government assets marked SECRET in the normal course of business or during conferences, briefings or courses
- custody of a small quantity of government assets marked SECRET
- entry to an area where government assets marked SECRET are stored
- work in areas where government information at SECRET and TOP SECRET might be overheard
- use of equipment capable of handling government information marked SECRET, provided that access controls are in place

9.4.4 In the above circumstances, the baseline personnel security standard (BPSS) or authentication supported by RV, MV or NPPV level 2 (full) or NPPV level 3 should normally be sufficient.

9.5 Developed vetting

9.5.1 DV clearance is required for individuals who are to be appointed to posts that require:

- frequent, uncontrolled access to government assets marked TOP SECRET
- access to TOP SECRET codeword material
- frequent, uncontrolled access to category 1 nuclear material
- access to certain levels of classified material originating from another country or international organisation

9.5.2 It is also required for individuals who, while not in such posts, will be in a position to directly or indirectly bring about the same degree of damage.

9.5.3 DV clearance should not normally be required for:

- occasional, supervised access to limited quantities of government assets marked TOP SECRET in the normal course of business or during conferences, briefings or courses
- custody of a small quantity of government assets marked TOP SECRET
- entry to an area where government assets marked TOP SECRET are stored
- work in areas where government information classified as TOP SECRET might be overheard
- use of equipment capable of handling government information marked TOP SECRET, provided that access controls are in place
- access to SECRET codeword material only
- police officers and police staff in posts where there is a threat from serious organised crime (provided that MV is applied and ongoing management of the clearance is augmented by aftercare in accordance with this APP)

9.5.4 In the above circumstances, SC clearance should usually be sufficient.

10. Forms and templates

1. [Sample recruitment vetting form](#)
2. [Sample management vetting form](#)
3. [Sample non-police personnel level 1 \(NPPV1\) vetting form](#)
4. [Sample non-police personnel level 2 \(NPPV2\) \(abbreviated\) vetting form](#)
5. [Sample non-police personnel level 2 \(NPPV2\) \(full\) vetting form](#)
6. [Sample non-police personnel level 3 \(NPPV3\) vetting form](#)
7. [Vetting data capture form](#)
8. [Sample financial scoring sheet](#)
9. [Guidance notes on completing the vetting form](#)
10. [Vetting decision record form](#)
11. [Sample transferee recruitment checklist](#)
12. [Vetting appeal form](#)
13. [Sample letter of rejection](#)
14. [Sample annual security form](#)
15. [Sample letter to prospective police officers and special constables: taking of fingerprints and DNA](#)
16. [Sample letter of consent to be returned signed by prospective police officers and special constables: taking of fingerprints and DNA](#)
17. [Sample letter for issue to prospective PCSOs and police staff: taking of fingerprints and DNA](#)
18. [Sample letter of consent to be returned signed by prospective PCSO and police staff: taking of fingerprints and DNA](#)

Sample recruitment vetting form

Failure to complete all sections could delay this application.

Section one:

To be completed by the vacancy holder or the supervisor of the post requiring vetting.

The applicant must provide proof of their identity **and** proof of their current address. It is the responsibility of the recruiting force or police service, as the vacancy holder, to properly examine any documentation produced as proof of identity and address and to establish its authenticity.

Means of establishing identity include:

- current UK driving licence
- passport
- certificate of birth, adoption, marriage or civil partnership
- for non-UK nationals only – documentation relating to immigration status and permission to work in the UK.

Means of establishing residence, ideally one of the following (other documents may be acceptable locally):

- current utility bill
- mobile phone bill
- local authority tax bill (valid for current year).

List of documents seen	
I have checked the above details as proof of identity of	
Contact name	

Job title, department, and force number (eg, collar or employee number)	
Contact number	
Signed	
Date	

Section two:

The following pages must be completed by the applicant.

Your personal details will not be released without your approval to any other individuals or company, apart from other appropriate departments within this force, another police force or relevant external agency where required for vetting purposes. The personal data you supply will be managed confidentially, securely and in accordance with the General Data Protection Regulation (GDPR) and/or Data Protection Act 2018 as applicable. Personal data will not be retained for longer than is necessary and held in accordance with force retention schedules, after which it will be disposed of securely (see the force privacy notice for further details). Under data protection legislation, individuals have a general right of access to their personal data held by police forces, subject to certain exemptions. Further information in relation to your rights and on how organisations can use your data is available from the Information Commissioner’s Office at ico.org.uk

For further information about how we will process your personal data, please refer to our privacy notice here [force to provide hyperlink to full privacy notice].

All questions must be answered. Where a question does not apply to you or you do not know the answer, please enter **N/A** or **N/K** as appropriate. Use extra pages as required.

Applicant's contact details

Home telephone		Mobile telephone	
Work telephone		Email address	

Applicant

Title	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Any alias or previously used names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	

If you or your partner have lived at any other addresses in the past five years, please provide details and dates of occupancy below. Please use additional pages if necessary.

Previous address	
Previous address	

Partner

Title	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	
Relationship and number of years together	
Please indicate if deceased	

Children

Please enter details of your children, including biological children, stepchildren or adopted children. There is no need to include children **under 10 years of age**. Please use extra pages if necessary.

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Parents

Please enter details of your natural parents and any adoptive parents, step-parents or guardians. Please use extra pages if necessary.

Relationship (please state if natural, adoptive, step- or guardian)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please state if natural, adoptive, step- or guardian)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Are your parents divorced or separated?

Yes No

If so, does either parent have a new partner?

Yes No

Please provide details as above for new partners on an extra page.

Brothers and sisters

Please enter details of your siblings, including half-, step- or adopted siblings. There is no need to include siblings **under 10 years of age**.

Please use extra pages if necessary.

Relationship (please specify if full, half-, step- or adopted sibling)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please specify if full, half-, step- or adopted sibling)	
Surname or family name	
Surname or family name at birth	

Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Co-residents

Please supply details of **all persons residing** with you at your address other than those you have already listed above.

There is no need to include co-residents **under 10 years of age**. Please use extra pages if necessary.

Relationship	
Surname or family name	
Any other previous surname or family names	
Forenames or personal name and middle names	
Forenames/personal name and middle names	
Date of birth	
Town, county and country of birth	

Relationship	
Surname or family name	
Any other previous surname or family names	

Forenames or personal name and middle names	
Forenames/personal name and middle names	
Date of birth	
Town, county and country of birth	

Security information

Please use extra pages if necessary.

In accordance with the Rehabilitation of Offenders Act 1974 and the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975:

- Those applying for police staff and non-police personnel roles are **not** required to declare any information in relation to a protected caution or a protected conviction (further information in relation to these is provided at the end of this form).
- Those applying to become a police officer or a member of the Special Constabulary **must disclose** all convictions and cautions with **no** exceptions.

It is your responsibility to ensure that you understand whether you have a protected caution or conviction and to ensure you complete this form fully and accurately.

Please read this section very carefully.

Have you ever been the subject of an investigation into, arrested for, summonsed for, charged with, cautioned for or convicted of **any offence** by any UK or non-UK police force, law enforcement agency, or other statutory prosecuting authority or agency?

Yes No

Offences include the following matters (please answer every question):

	Yes	No
■ traffic offences (including fixed penalty notices other than for parking)	<input type="checkbox"/>	<input type="checkbox"/>
■ receipt of an absolute or conditional discharge or binding over order	<input type="checkbox"/>	<input type="checkbox"/>
■ receipt of a reprimand, warning, final warning or caution as an adult or juvenile, or any restorative justice disposal	<input type="checkbox"/>	<input type="checkbox"/>
■ being the subject of an anti-social behaviour order, any measures introduced by the Anti-social Behaviour, Crime and Policing Act 2014, such as a criminal behaviour order, civil injunction, football spectator banning order, any order under the Sexual Offences Act 2003, harassment order	<input type="checkbox"/>	<input type="checkbox"/>
■ being issued with a penalty notice for disorder or other fixed penalty notice (other than for parking).	<input type="checkbox"/>	<input type="checkbox"/>

In addition, you must declare if you have:

	Yes	No
■ had any involvement with the military authorities on disciplinary matters (whether involving court martial or not)	<input type="checkbox"/>	<input type="checkbox"/>
■ had any involvement in a criminal investigation (whether or not this has led to a prosecution)	<input type="checkbox"/>	<input type="checkbox"/>
■ had any involvement in misconduct or disciplinary proceedings (whether as a paid employee or as a volunteer)	<input type="checkbox"/>	<input type="checkbox"/>
■ been included on the 'Police Barred List' or 'Police Advisory List'.	<input type="checkbox"/>	<input type="checkbox"/>

<p>If you have answered yes to any of the above, please provide details including incident or offence, sentence or punishment, sentencing authority and dates.</p> <p>Please continue on a separate sheet if necessary.</p>	
--	--

Have you ever been involved in any actions that could be described as politically, religiously, racially, or environmentally disruptive?

Yes No

<p>If you have answered yes, please provide details.</p>	
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Do you associate with any person(s), including family members, who you know or have reason to believe has criminal convictions, or is engaged in criminal activities? An association would include communicating via phone, social media and other forms of communication, not just in person.

Yes No

<p>If you have answered yes, please provide details including name of associate, your relationship to them, address, date of birth (if known), the reason you have nominated them and the closeness of your connection to them. Please also indicate how often you associate with them (eg, at least daily, most weeks, monthly, or how many times a year if less than monthly).</p>	
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Are you aware of any other circumstances, characteristics or conditions with the potential to render you susceptible to pressure or improper influence, such as the misuse of controlled or prescription drugs, financial difficulties, gambling or other addiction?

Yes No

If you have answered yes , please provide details.	
---	--

Please provide details of all instances where you have held a paid or unpaid post (including voluntary work) with the police, HM Forces or HM Government.

Name of organisation	
Rank or post	
Collar or service	
Date from	
Date to	

Financial details

The information required in this section is to allow the chief constable to fulfil a statutory obligation to run an efficient and effective force. To meet this obligation, we must provide for the safety of our staff, and ensure that those with access to force information are trustworthy and unlikely to breach confidences.

Any interference with an individual's right to respect for private and family life under Article 8 of the European Convention on Human Rights (ECHR) will only be that which is proscribed by law, necessary in a democratic society and a proportionate means of achieving a legitimate aim. The legitimate aims of such action will include the protection of the rights and freedoms of others, safeguarding public safety, the prevention of disorder and crime, and, in some cases, national security.

How would you describe your overall financial situation?

Comfortable Manageable Difficult to cope
Do not know position

Property

Do you:

Own your home outright Own your home with a mortgage
Pay rent Receive accommodation free of charge

What is your estimate of the total current market value of all properties owned? £.....

Have you in the past five years:

	Yes	No
Extended the term of your mortgage(s) to make it easier to pay	<input type="checkbox"/>	<input type="checkbox"/>
Taken out a second mortgage or enlarged your current mortgage, for reasons other than to finance home improvements	<input type="checkbox"/>	<input type="checkbox"/>

Monthly income and expenditure

Combined take-home pay of you and your spouse or partner £.....
State benefits, eg, child benefit £.....
Other income, eg, from shares or property £.....

Total **£.....**

Is any of the above from overtime or bonus payments? Yes No

If so, how much? £.....

Monthly amount of regular financial commitments, excluding loans and credit cards(include rent, mortgages, household utilities, and other regular and long-term payments, commuting costs and maintenance payments). £.....

Taking into consideration likely changes in your income and key commitments, do you expect in the next year to be:

Much better off Slightly better off About the same
Slightly worse off Much worse off

Saving and borrowing

Please indicate how much your household has saved and invested in savings accounts and other non-property investments, such as stocks, shares and trusts.

£0 - £250 £251 - £2,500 £2,501 - £10,000
£10,001 - £50,000 Over £50,000

Do you save:

Regularly Occasionally Hardly ever

During the last five years, have you received or acquired money or assets worth more than £5,000 other than salary?

Yes No

Total amount £.....

If you have answered yes , please provide details.	
---	--

Please enter details of your current borrowings (eg, loans, HP and mail order - exclude mortgages).

Number of loans and other relevant borrowings	Amount yet to repay	Total monthly repayments
	£	£

Are any of these loans:

Yes

No

Secured against property

Extended for a period of five years or more

Please indicate below the purposes of these loans and provide details on an extra page.

Home improvements

Holidays

Debt repayment

Stocks and shares

Cars

Consumer durables

Bridging finance

Student loans

General expenses

Other

Please enter details of any credit arrangements (eg, credit, charge and store cards) and provide details on an extra page.

Number of cards	Total limit	Total outstanding after last payment
	£	£

Do you normally pay the balance on your cards each month?

Yes No

How many current accounts do you have?.....

Compared with a year ago, do you owe more or less on your loans, cards and overdrafts?

Much more Slightly more About the same
 Slightly less Much less

Do you regularly use an overdraft facility?

Yes No

Did you exceed your agreed overdraft limit, ie, in three or more months out of the last six months?

Yes No

If you have a negative balance on any of your accounts, please provide details of the accounts and amounts outstanding.

In the last year, have you been unable to meet any major commitments (eg, mortgage, rent or loan repayments), in two or more consecutive months?

Yes No

If you have answered **yes**, provide details of accounts and amounts outstanding.

Financial history

Have you ever been declared bankrupt? Yes No

If **yes**, please provide details:

Date	Court	Reason

Do you have any secondary employment, financial or other business interest (including directorships or company secretarial positions) not related to your primary duties with the police?

Yes No

If you have answered **yes**, please provide details.

In the last 10 years, have you:	Yes	No	Number of occurrences	Most recent year
Had a loan terminated by a bank or building society?				
Had a credit, store or charge card withdrawn or been notified that a card or account had been defaulted?				
Been the subject of an adverse county court judgment, a sheriff's court or court of session judgment?				
Been party to a voluntary agreement registered with the county court, sheriff's court or court of session?				
Been the subject of an attachment of earnings order?				
Had repossession proceedings started against you?				
Been party to an individual voluntary arrangement, debt relief order or debt management programme?				

Are there any other details or explanations that would help to clarify your current financial status that are not already covered in the answers provided above?

Yes No

If yes , please provide details, including reasons for any outstanding loans or commitments.	
---	--

Declaration

To be completed by the applicant.

- I consent to the information provided on this form being used by the vetting unit for the purposes of vetting.
- I consent to information for the purposes of vetting being shared with other police forces and relevant security agencies, and consent to those forces and agencies sharing relevant information for the purposes of vetting with the force or policing body to which I am applying.
- I declare that the information I have given is true and complete to the best of my knowledge and belief.
- I undertake to report as soon as practicable any material changes in the information I have given.
- I consent to a financial check being carried out.
- I understand that if I knowingly make a false statement or deliberate omission in the information provided, I might be disqualified from working for the police on this or any future occasion and/or may be liable for future disciplinary action.
- I understand that social media checks may be conducted as part of the vetting process.
- I understand it is my responsibility to inform those named on the form that their details have been provided for the purpose of my vetting application.
- I understand that the information provided as part of the vetting process will be treated in the strictest confidence, but will not be immune from disclosure and consideration in respect of serious disciplinary or criminal matters that may be revealed through or facilitated by vetting enquiries. Where this is the case, information provided in this questionnaire may be disclosed in any subsequent proceedings.
- I acknowledge that my vetting will be subject to ongoing review and renewal during my police employment.

Signed

Date

Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975

Protected cautions and protected convictions

Please note: these exceptions (protected cautions and protected convictions) are only relevant to those being vetted for roles **other than police officer and Special Constabulary posts**.

Police officer and Special Constabulary applicants: there are **no exceptions** and all previous convictions and cautions, including those which would ordinarily be considered as 'spent' or protected, must be declared in this application.

Police staff applicants and non-police personnel: the above Exceptions Order introduced **protected convictions and cautions**, and distinguishes between the treatment of the roles of police officers and police support staff. This means that certain old and minor spent convictions and cautions are now considered protected and therefore **do not have to be disclosed**.

While police staff and non-police personnel do still have to declare previous convictions and cautions that would ordinarily be considered as 'spent' under the Rehabilitation of Offenders Act 1974 the exception to this is for **protected** convictions and cautions.

Protected convictions: these **do not** have to be declared by police staff applicants and non-police personnel.

A conviction is considered to be 'protected' if **all** the following criteria apply.

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- No custodial sentence was imposed.
- The individual has not been convicted of any other offence at any time.
- Eleven years or more have passed since the conviction, if the individual was aged 18 or over at the time of conviction, or five years and six months or more have passed since the conviction, if the individual was under 18 at the time of the conviction.

Protected cautions: these do not have to be declared by police staff applicants and non-police personnel.

A caution is considered to be 'protected' if **all** the following criteria apply:

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- Six years or more have passed since the caution, if the individual was aged 18 years or over at the time the caution was given, or two years or more have passed since the caution, if the individual was under 18 at the time the caution was given.

***Listed offences** include serious, violent and sexual offences, and offences that which are of specific relevance to the safeguarding of children and vulnerable adults. Listed offences will **never** be filtered or protected.

Sample management vetting form

Failure to complete all sections could delay this application.

Section one:

To be completed by the vacancy holder or the supervisor of the post requiring vetting.

The applicant must provide proof of their identity **and** proof of their current address. It is the responsibility of the recruiting force or police service, as the vacancy holder, to properly examine any documentation produced as proof of identity and address and to establish its authenticity.

Means of establishing identity include:

- current UK driving licence
- passport
- certificate of birth, adoption, marriage or civil partnership
- for non-UK nationals only – documentation relating to immigration status and permission to work in the UK.

Means of establishing residence, ideally one of the following (other documents may be acceptable locally):

- current utility bill
- mobile phone bill
- local authority tax bill (valid for current year).

List of documents seen	
I have checked the above details as proof of identity of	
Contact name	

Job title, department, and force number (eg, collar or employee number)	
Contact number	
Signed	
Date	

Section two:

The following pages must be completed by the applicant.

Your personal details will not be released without your approval to any other individuals or company, apart from other appropriate departments within this force, another police force or relevant external agency where required for vetting purposes. The personal data you supply will be managed confidentially, securely and in accordance with the General Data Protection Regulation (GDPR) and/or Data Protection Act 2018 as applicable. Personal data will not be retained for longer than is necessary and held in accordance with force retention schedules, after which it will be disposed of securely (see the force privacy notice for further details). Under data protection legislation, individuals have a general right of access to their personal data held by police forces, subject to certain exemptions. Further information in relation to your rights and on how organisations can use your data is available from the Information Commissioner's Office at ico.org.uk

For further information about how we will process your personal data, please refer to our privacy notice here [force to provide hyperlink to full privacy notice].

All questions must be answered. Where a question does not apply to you or you do not know the answer, please enter **N/A** or **N/K** as appropriate. Use extra pages as required.

Applicant's contact details

Home telephone		Mobile telephone	
Work telephone		Email address	

Applicant

Title	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Any alias or previously used names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	

If you or your partner have lived at any other addresses in the past five years, please provide details and dates of occupancy below. Please use additional pages if necessary.

Previous address	
Previous address	

Partner

Title	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	
Relationship and number of years together	
Please indicate if deceased	

Children

Please enter details of your children, including biological children, stepchildren or adopted children. There is no need to include children **under 10 years of age**. Please use extra pages if necessary.

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Parents

Please enter details of your natural parents and any adoptive parents, step-parents or guardians. Please use extra pages if necessary.

Relationship (please state if natural, adoptive, step- or guardian)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please state if natural, adoptive, step- or guardian)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Are your parents divorced or separated?

Yes No

If so, does either parent have a new partner?

Yes No

Please provide details as above for new partners on an extra page.

Brothers and sisters

Please enter details of your siblings, including half-, step- or adopted siblings. There is no need to include siblings **under 10 years of age**.

Please use extra pages if necessary.

Relationship (please specify if full, half-, step- or adopted sibling)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please specify if full, half-, step- or adopted sibling)	
Surname or family name	
Surname or family name at birth	

Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Co-residents

Please supply details of **all persons residing** with you at your address other than those you have already listed above.

There is no need to include co-residents **under 10 years of age**. Please use extra pages if necessary.

Relationship	
Surname or family name	
Any other previous surname or family names	
Forenames or personal name and middle names	
Forenames/personal name and middle names	
Date of birth	
Town, county and country of birth	

Relationship	
Surname or family name	
Any other previous surname or family names	

Forenames or personal name and middle names	
Forenames/personal name and middle names	
Date of birth	
Town, county and country of birth	

Security information

Please use extra pages if necessary.

In accordance with the Rehabilitation of Offenders Act 1974 and the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975:

- Those applying for police staff and non-police personnel roles are **not** required to declare any information in relation to a protected caution or a protected conviction (further information in relation to these is provided at the end of this form).
- Those applying to become a police officer or a member of the Special Constabulary **must disclose** all convictions and cautions with **no** exceptions.

It is your responsibility to ensure that you understand whether you have a protected caution or conviction and to ensure you complete this form fully and accurately.

Please read this section very carefully.

Have you ever been the subject of an investigation into, arrested for, summonsed for, charged with, cautioned for or convicted of **any offence** by any UK or non-UK police force, law enforcement agency, or other statutory prosecuting authority or agency?

Yes No

Offences include the following matters (please answer every question):

- | | Yes | No |
|--|--------------------------|--------------------------|
| ■ traffic offences (including fixed penalty notices other than for parking) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ receipt of an absolute or conditional discharge or binding over order | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ receipt of a reprimand, warning, final warning or caution as an adult or juvenile, or any restorative justice disposal | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ being the subject of an anti-social behaviour order, any measures introduced by the Anti-social Behaviour, Crime and Policing Act 2014, such as a criminal behaviour order, civil injunction, football spectator banning order, any order under the Sexual Offences Act 2003, harassment order | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ being issued with a penalty notice for disorder or other fixed penalty notice (other than for parking). | <input type="checkbox"/> | <input type="checkbox"/> |

In addition, you must declare if you have:

- | | Yes | No |
|--|--------------------------|--------------------------|
| ■ had any involvement with the military authorities on disciplinary matters (whether involving court martial or not) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ had any involvement in a criminal investigation (whether or not this has led to a prosecution) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ had any involvement in misconduct or disciplinary proceedings (whether as a paid employee or as a volunteer) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ been included on the 'Police Barred List' or 'Police Advisory List'. | <input type="checkbox"/> | <input type="checkbox"/> |

<p>If you have answered yes to any of the above, please provide details including incident or offence, sentence or punishment, sentencing authority and dates.</p> <p>Please continue on a separate sheet if necessary.</p>	
--	--

Have you ever been involved in any actions that could be described as politically, religiously, racially, or environmentally disruptive?

Yes No

<p>If you have answered yes, please provide details.</p>	
---	--

Do you associate with any person(s), including family members, who you know or have reason to believe has criminal convictions, or is engaged in criminal activities? An association would include communicating via phone, social media and other forms of communication, not just in person.

Yes No

<p>If you have answered yes, please provide details including name of associate, your relationship to them, address, date of birth (if known), the reason you have nominated them and the closeness of your connection to them. Please also indicate how often you associate with them (eg, at least daily, most weeks, monthly, or how many times a year if less than monthly).</p>	
---	--

Are you aware of any other circumstances, characteristics or conditions with the potential to render you susceptible to pressure or improper influence, such as the misuse of controlled or prescription drugs, financial difficulties, gambling or other addiction?

Yes No

If you have answered yes , please provide details.	
---	--

Please provide details of all instances where you have held a paid or unpaid post (including voluntary work) with the police, HM Forces or HM Government.

Name of organisation	
Rank or post	
Collar or service	
Date from	
Date to	

Financial details

Do you have any secondary employment, financial or other business interest (including directorships or company secretarial positions) not related to your primary duties with the police service?

Yes No

If yes , please provide details.	
---	--

In the last 10 years, have you:	Yes	No	Number of occurrences	Most recent year
Been declared bankrupt?				
Had a loan terminated by a bank or building society?				
Had a credit, store or charge card withdrawn or been notified that a card or account had been defaulted?				
Been the subject of an adverse county court judgment, a sheriff's court or court of session judgment?				
Been party to a voluntary agreement registered with the county court, sheriff's court or court of session?				
Been the subject of an attachment of earnings order?				
Had repossession proceedings started against you?				
Been party to an individual voluntary arrangement, debt relief order or debt management programme?				

If yes to any of the above, please provide details and dates of any discharges, as well as any other relevant information (use extra pages if necessary).	
--	--

Are there any other details or explanations that would help to clarify your current financial status that are not already covered in the answers provided above?

Yes No

If yes , please provide details, including reasons for any outstanding loans or commitments.	
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Declaration

To be completed by the applicant.

- I consent to the information provided on this form being used by the vetting unit for the purposes of vetting.
- I consent to information for the purposes of vetting being shared with other police forces and relevant security agencies, and consent to those forces and agencies sharing relevant information for the purposes of vetting with the force or policing body to which I am applying.
- I declare that the information I have given is true and complete to the best of my knowledge and belief.
- I undertake to report as soon as practicable any material changes in the information I have given.
- I consent to a financial check being carried out.
- I understand that if I knowingly make a false statement or deliberate omission in the information provided, I might be disqualified from working for the police on this or any future occasion and/or may be liable for future disciplinary action.
- I understand that social media checks may be conducted as part of the vetting process.

- I understand it is my responsibility to inform those named on the form that their details have been provided for the purpose of my vetting application.
- I understand that the information provided as part of the vetting process will be treated in the strictest confidence, but will not be immune from disclosure and consideration in respect of serious disciplinary or criminal matters that may be revealed through or facilitated by vetting enquiries. Where this is the case, information provided in this questionnaire may be disclosed in any subsequent proceedings.
- I acknowledge that my vetting will be subject to ongoing review and renewal during my police employment.

Signed

Date

Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975

Protected cautions and protected convictions

Please note: these exceptions (protected cautions and protected convictions) are only relevant to those being vetted for roles **other than police officer and Special Constabulary posts**.

Police officer and Special Constabulary applicants: there are **no exceptions** and all previous convictions and cautions, including those which would ordinarily be considered as 'spent' or protected, must be declared in this application.

Police staff applicants and non-police personnel: the above Exceptions Order introduced **protected convictions and cautions**, and distinguishes between the treatment of the roles of police officers and police support staff. This means that certain old and minor spent convictions and cautions are now considered protected and therefore **do not have to be disclosed**.

While police staff and non-police personnel do still have to declare previous convictions and cautions that would ordinarily be considered as 'spent' under the Rehabilitation of Offenders Act 1974 the exception to this is for **protected** convictions and cautions.

Protected convictions: these **do not** have to be declared by police staff applicants and non-police personnel.

A conviction is considered to be 'protected' if **all** the following criteria apply.

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- No custodial sentence was imposed.
- The individual has not been convicted of any other offence at any time.
- Eleven years or more have passed since the conviction, if the individual was aged 18 or over at the time of conviction, or five years and six months or more have passed since the conviction, if the individual was under 18 at the time of the conviction.

Protected cautions: these do not have to be declared by police staff applicants and non-police personnel.

A caution is considered to be 'protected' if **all** the following criteria apply:

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- Six years or more have passed since the caution, if the individual was aged 18 years or over at the time the caution was given, or two years or more have passed since the caution, if the individual was under 18 at the time the caution was given.

***Listed offences** include serious, violent and sexual offences, and offences that which are of specific relevance to the safeguarding of children and vulnerable adults. Listed offences will **never** be filtered or protected.

Sample non-police personnel level 1 (NPPV1) vetting form

Failure to complete all sections could delay this application.

Section one:

To be completed by the employer.

Applicant name.....

Company name.....

Company address.....

Company contact telephone number.....

Company email address.....

Site location.....

Subcontractor (if applicable).....

Type of work to be undertaken.....

Project name (if applicable).....

Project start and finish dates (if applicable).....

Authentication - to be completed by the employer (or sponsor as appropriate).

It is the responsibility of the applicant's employer or sponsor to examine any documentation produced as proof of identity and address.

Means of establishing identity include:

- current UK driving licence
- passport
- certificate of birth, adoption, marriage or civil partnership
- for non-UK nationals only - documentation relating to immigration status and permission to work in the UK

Means of establishing residence, ideally one of the following
(other documents may be acceptable locally):

- current utility bill
- mobile phone bill
- local authority tax bill (valid for current year).

List of documents seen	
I have checked the above details as proof of identity of	
Print name	
Position in company or host police force	
Signed	
Date	

To be completed by the sponsor.

Contact name	
Job title and force number	
Location (department or area command)	
Contact number	

Section two:**The following pages must be completed by the applicant.**

Your personal details will not be released without your approval to any other individuals or company, apart from other appropriate departments within this force, another police force or relevant external agency where required for vetting purposes. The personal data you supply will be managed confidentially, securely and in accordance with the General Data Protection Regulation (GDPR) and/or Data Protection Act 2018 as applicable. Personal data will not be retained for longer than is necessary and held in accordance with force retention schedules, after which it will be disposed of securely (see the force privacy notice for further details). Under data protection legislation, individuals have a general right of access to their personal data held by police forces, subject to certain exemptions. Further information in relation to your rights and on how organisations can use your data is available from the Information Commissioner's Office at ico.org.uk

For further information about how we will process your personal data, please refer to our privacy notice here [force to provide hyperlink to full privacy notice].

All questions must be answered. Where a question does not apply to you or you do not know the answer, please enter **N/A** or **N/K** as appropriate. Use extra pages as required.

Applicant's contact details

Home telephone		Mobile telephone	
Work telephone		Email address	

Applicant

Title	
Surname or family name	
Surname or family name at birth	

Any other previous surname or family names	
Forenames or personal name and middle names	
Any alias or previously used names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	

If you have lived at any other address in the last five years, please provide details and dates of occupancy on an extra page.

Previous address	
Previous address	

Security information

Please use extra pages if necessary.

In accordance with the Rehabilitation of Offenders Act 1974 and the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975:

- Those applying for police staff and non-police personnel roles are **not** required to declare any information in relation to a protected caution or a protected conviction (further information in relation to these is provided at the end of this form).
- Those applying to become a police officer or a member of the Special Constabulary **must disclose** all convictions and cautions with **no** exceptions.

It is your responsibility to ensure that you understand whether you have a protected caution or conviction and to ensure you complete this form fully and accurately.

Please read this section very carefully.

Other than protected cautions and protected convictions that you do not need to disclose as explained above, have you ever been the subject of an investigation into, arrested for, summonsed for, charged with, cautioned for or convicted of **any offence** by any UK or non-UK police force, law enforcement agency, or other statutory prosecuting authority or agency?

Yes No

Offences include the following matters (please answer every question):

- | | Yes | No |
|--|--------------------------|--------------------------|
| ■ traffic offences (including fixed penalty notices other than for parking) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ receipt of an absolute or conditional discharge or binding over order | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ receipt of a reprimand, warning, final warning or caution as an adult or juvenile, or any restorative justice disposal | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ being the subject of an anti-social behaviour order, any measures introduced by the Anti-social Behaviour, Crime and Policing Act 2014, such as a criminal behaviour order, civil injunction, football spectator banning order, any order under the Sexual Offences Act 2003, harassment order | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ being issued with a penalty notice for disorder or other fixed penalty notice (other than for parking). | <input type="checkbox"/> | <input type="checkbox"/> |

In addition, you must declare if you have:

- | | Yes | No |
|--|--------------------------|--------------------------|
| ■ had any involvement with the military authorities on disciplinary matters (whether involving court martial or not) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ had any involvement in a criminal investigation (whether or not this has led to a prosecution) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ had any involvement in misconduct or disciplinary proceedings (whether as a paid employee or as a volunteer) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ been included on the 'Police Barred List' or 'Police Advisory List'. | <input type="checkbox"/> | <input type="checkbox"/> |

<p>If you have answered yes to any of the above, please provide details including incident or offence, sentence or punishment, sentencing authority and dates.</p> <p>Please continue on a separate sheet if necessary.</p>	
--	--

Declaration

To be completed by the applicant.

- I consent to the information provided on this form being used by the vetting unit for the purposes of vetting.
- I declare that the information I have given is true and complete to the best of my knowledge and belief.
- I undertake to report any material changes in the information I have given.
- I understand that any false statement or deliberate omission I have given in this questionnaire may affect my suitability for security clearance.

Signed

Date

Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975

Protected cautions and protected convictions

Please note: these exceptions (protected cautions and protected convictions) are only relevant to those being vetted for roles **other than police officer and Special Constabulary posts**.

Police officer and Special Constabulary applicants: there are **no exceptions** and all previous convictions and cautions, including those which would ordinarily be considered as 'spent' or protected, must be declared in this application.

Police staff applicants and non-police personnel: the above Exceptions Order introduced **protected convictions and cautions**, and distinguishes between the treatment of the roles of police officers and police support staff. This means that certain old and minor spent convictions and cautions are now considered protected and therefore **do not have to be disclosed**.

While police staff and non-police personnel do still have to declare previous convictions and cautions that would ordinarily be considered as 'spent' under the Rehabilitation of Offenders Act 1974 the exception to this is for **protected** convictions and cautions.

Protected convictions: these **do not** have to be declared by police staff applicants and non-police personnel.

A conviction is considered to be 'protected' if **all** the following criteria apply.

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- No custodial sentence was imposed.
- The individual has not been convicted of any other offence at any time.
- Eleven years or more have passed since the conviction, if the individual was aged 18 or over at the time of conviction, or five years and six months or more have passed since the conviction, if the individual was under 18 at the time of the conviction.

Protected cautions: these **do not** have to be declared by police staff applicants and non-police personnel.

A caution is considered to be 'protected' if **all** the following criteria apply:

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- Six years or more have passed since the caution, if the individual was aged 18 years or over at the time the caution was given, or two years or more have passed since the caution, if the individual was under 18 at the time the caution was given.

***Listed offences** include serious, violent and sexual offences, and offences that which are of specific relevance to the safeguarding of children and vulnerable adults. Listed offences will **never** be filtered or protected.

Sample non-police personnel level 2 (NPPV2) (abbreviated) vetting form

Failure to complete all sections could delay this application.

Section one:

To be completed by the employer.

Applicant name.....

Company name.....

Company address.....

Company contact telephone number.....

Company email address.....

Site location.....

Subcontractor (if applicable).....

Type of work to be undertaken.....

Project name (if applicable).....

Project start and finish dates (if applicable).....

Authentication - to be completed by the employer or sponsor as appropriate.

It is the responsibility of the applicant's employer or sponsor to examine any documentation produced as proof of identity and address.

Means of establishing identity include:

- current UK driving licence
- passport
- certificate of birth, adoption, marriage or civil partnership
- for non-UK nationals only – documentation relating to immigration status and permission to work in the UK

Means of establishing residence, ideally one of the following (other documents may be acceptable locally):

- current utility bill
- mobile phone bill
- local authority tax bill (valid for current year).

List of documents seen	
I have checked the above details as proof of identity of	
Print name	
Position in company or host police force	
Signed	
Date	

To be completed by the sponsor.

Contact name	
Job title and force number	
Location (department or area command)	
Contact number	

Section two:**The following pages must be completed by the applicant.**

Your personal details will not be released without your approval to any other individuals or company, apart from other appropriate departments within this force, another police force or relevant external agency where required for vetting purposes. The personal data you supply will be managed confidentially, securely and in accordance with the General Data Protection Regulation (GDPR) and/or Data Protection Act 2018 as applicable. Personal data will not be retained for longer than is necessary and held in accordance with force retention schedules, after which it will be disposed of securely (see the force privacy notice for further details). Under data protection legislation, individuals have a general right of access to their personal data held by police forces, subject to certain exemptions. Further information in relation to your rights and on how organisations can use your data is available from the Information Commissioner's Office at ico.org.uk

For further information about how we will process your personal data, please refer to our privacy notice here [force to provide hyperlink to full privacy notice].

All questions must be answered. Where a question does not apply to you or you do not know the answer, please enter **N/A** or **N/K** as appropriate. Use extra pages as required.

Applicant's contact details

Home telephone		Mobile telephone	
Work telephone		Email address	

Applicant

Title	
Surname or family name	
Surname or family name at birth	

Any other previous surname or family names	
Forenames or personal name and middle names	
Any alias or previously used names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	

If you or your partner have lived at any other addresses in the past five years, please provide details and dates of occupancy below. Please use additional pages if necessary.

Previous address	
Previous address	

Partner

Title	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	
Relationship and number of years together	
Please indicate if deceased	

Children

Please enter details of your children who are cohabiting at your address, including biological children, stepchildren or adopted children. There is no need to include children **under 10 years of age**. Please use extra pages if necessary.

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Co-residents

Please supply details of **all persons residing** with you at your address other than those you have already listed above.

There is no need to include co-residents **under 10 years of age**. Please use extra pages if necessary.

Relationship	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	

Relationship	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	

Security information

Please use extra pages if necessary.

In accordance with the Rehabilitation of Offenders Act 1974 and the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975:

- Those applying for police staff and non-police personnel roles are **not** required to declare any information in relation to a protected caution or a protected conviction (further information in relation to these is provided at the end of this form).
- Those applying to become a police officer or a member of the Special Constabulary **must disclose** all convictions and cautions with **no** exceptions.

It is your responsibility to ensure that you understand whether you have a protected caution or conviction and to ensure you complete this form fully and accurately.

Please read this section very carefully.

Other than protected cautions and protected convictions that you do not need to disclose as explained above, have you ever been the subject of an investigation into, arrested for, summonsed for, charged with, cautioned for or convicted of any offence by any UK or non-UK police force, law enforcement agency, or other statutory prosecuting authority or agency?

Yes No

Offences include the following matters (please answer every question):

- | | Yes | No |
|--|--------------------------|--------------------------|
| ■ traffic offences (including fixed penalty notices other than for parking) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ receipt of an absolute or conditional discharge or binding over order | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ receipt of a reprimand, warning, final warning or caution as an adult or juvenile, or any restorative justice disposal | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ being the subject of an anti-social behaviour order, any measures introduced by the Anti-social Behaviour, Crime and Policing Act 2014, such as a criminal behaviour order, civil injunction, football spectator banning order, any order under the Sexual Offences Act 2003, harassment order | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ being issued with a penalty notice for disorder or other fixed penalty notice (other than for parking). | <input type="checkbox"/> | <input type="checkbox"/> |

In addition, you must declare if you have:

- | | Yes | No |
|--|--------------------------|--------------------------|
| ■ had any involvement with the military authorities on disciplinary matters (whether involving court martial or not) | <input type="checkbox"/> | <input type="checkbox"/> |
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| ■ had any involvement in misconduct or disciplinary proceedings (whether as a paid employee or as a volunteer) | <input type="checkbox"/> | <input type="checkbox"/> |
| ■ been included on the 'Police Barred List' or 'Police Advisory List'. | <input type="checkbox"/> | <input type="checkbox"/> |

<p>If you have answered yes to any of the above, please provide details including incident or offence, sentence or punishment, sentencing authority and dates.</p> <p>Please continue on a separate sheet if necessary.</p>	
--	--

Have you ever been involved in any actions that could be described as politically, religiously, racially, or environmentally disruptive?

Yes No

<p>If you have answered yes, please provide details.</p>	
---	--

Do you associate with any person(s), including family members, who you know or have reason to believe has criminal convictions, or is engaged in criminal activities? An association would include communicating via phone, social media and other forms of communication, not just in person.

Yes No

<p>If you have answered yes, please provide details including name of associate, your relationship to them, address, date of birth (if known), the reason you have nominated them and the closeness of your connection to them. Please also indicate how often you associate with them (eg, at least daily, most weeks, monthly, or how many times a year if less than monthly).</p>	
---	--

Are you aware of any other circumstances, characteristics or conditions with the potential to render you susceptible to pressure or improper influence, such as the misuse of controlled or prescription drugs, financial difficulties, gambling or other addiction?

Yes No

If you have answered yes , please provide details.	
---	--

Please provide details of all instances where you have held a paid or unpaid post (including voluntary work) with the police, HM Forces or HM Government.

Name of organisation	
Rank or post	
Collar or service	
Date from	
Date to	

Declaration

To be completed by the applicant.

- I consent to the information provided on this form being used by the vetting unit for the purposes of vetting.
- I declare that the information I have given is true and complete to the best of my knowledge and belief.
- I undertake to report any material changes in the information I have given.
- I consent to a financial check being carried out.
- I understand that any false statement or deliberate omission I have given in this questionnaire may affect my suitability for security clearance.
- I understand it is my responsibility to inform those named on the form that their details have been provided for the purpose of my vetting application.

Signed

Date

Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975

Protected cautions and protected convictions

Please note: these exceptions (protected cautions and protected convictions) are only relevant to those being vetted for roles **other than police officer and Special Constabulary posts**.

Police officer and Special Constabulary applicants: there are **no exceptions** and all previous convictions and cautions, including those which would ordinarily be considered as 'spent' or protected, must be declared in this application.

Police staff applicants and non-police personnel: the above Exceptions Order introduced **protected convictions and cautions**, and distinguishes between the treatment of the roles of police officers and police support staff. This means that certain old and minor spent convictions and cautions are now considered protected and therefore **do not have to be disclosed**.

While police staff and non-police personnel do still have to declare previous convictions and cautions that would ordinarily be considered as 'spent' under the Rehabilitation of Offenders Act 1974 the exception to this is for **protected** convictions and cautions.

Protected convictions: these **do not** have to be declared by police staff applicants and non-police personnel.

A conviction is considered to be 'protected' if **all** the following criteria apply.

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- No custodial sentence was imposed.
- The individual has not been convicted of any other offence at any time.
- Eleven years or more have passed since the conviction, if the individual was aged 18 or over at the time of conviction, or five years and six months or more have passed since the conviction, if the individual was under 18 at the time of the conviction.

Protected cautions: these **do not** have to be declared by police staff applicants and non-police personnel.

A caution is considered to be 'protected' if **all** the following criteria apply:

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- Six years or more have passed since the caution, if the individual was aged 18 years or over at the time the caution was given, or two years or more have passed since the caution, if the individual was under 18 at the time the caution was given.

***Listed offences** include serious, violent and sexual offences, and offences that which are of specific relevance to the safeguarding of children and vulnerable adults. Listed offences will **never** be filtered or protected.

Sample non-police personnel level 2 (NPPV2) (full) vetting form

Failure to complete all sections could delay this application.

Section one:

To be completed by the employer.

Applicant name.....

Company name.....

Company address.....

Company contact telephone number.....

Company email address.....

Site location.....

Subcontractor (if applicable).....

Type of work to be undertaken.....

Project name (if applicable).....

Project start and finish dates (if applicable).....

Authentication – to be completed by the employer (or sponsor as appropriate).

It is the responsibility of the applicant's employer or sponsor to examine any documentation produced as proof of identity and address.

Means of establishing identity include:

- current UK driving licence
- passport
- certificate of birth, adoption, marriage or civil partnership
- for non-UK nationals only – documentation relating to immigration status and permission to work in the UK

Means of establishing residence, ideally one of the following (other documents may be acceptable locally):

- current utility bill
- mobile phone bill
- local authority tax bill (valid for current year)

List of documents seen	
I have checked the above details as proof of identity of	
Print name	
Position in company or host police force	
Signed	
Date	

To be completed by the sponsor.

Contact name	
Job title and force number	
Location (department or area command)	
Contact number	

Section two:**The following pages must be completed by the applicant.**

Your personal details will not be released without your approval to any other individuals or company, apart from other appropriate departments within this force, another police force or relevant external agency where required for vetting purposes. The personal data you supply will be managed confidentially, securely and in accordance with the General Data Protection Regulation (GDPR) and/or Data Protection Act 2018 as applicable. Personal data will not be retained for longer than is necessary and held in accordance with force retention schedules, after which it will be disposed of securely (see the force privacy notice for further details). Under data protection legislation, individuals have a general right of access to their personal data held by police forces, subject to certain exemptions. Further information in relation to your rights and on how organisations can use your data is available from the Information Commissioner's Office at ico.org.uk

For further information about how we will process your personal data, please refer to our privacy notice here [force to provide hyperlink to full privacy notice].

All questions must be answered. Where a question does not apply to you or you do not know the answer, please enter **N/A** or **N/K** as appropriate. Use extra pages as required.

Applicant's contact details

Home telephone		Mobile telephone	
Work telephone		Email address	

Applicant

Title	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Any alias or previously used names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	

If you or your partner have lived at any other addresses in the past five years, please provide details and dates of occupancy below. Please use additional pages if necessary.

Previous address	
Previous address	

Partner

Title	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	
Relationship and number of years together	
Please indicate if deceased	

Children

Please enter details of your children, including biological children, stepchildren or adopted children. There is no need to include children **under 10 years of age**. Please use extra pages if necessary.

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Parents

Please enter details of your natural parents and any adoptive parents, step-parents or guardians. Please use extra pages if necessary.

Relationship (please state if natural, adoptive, step- or guardian)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please state if natural, adoptive, step- or guardian)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Are your parents divorced or separated?

Yes No

If so, does either parent have a new partner?

Yes No

Please provide details as above for new partners on an extra page.

Brothers and sisters

Please enter details of your siblings, including half-, step- or adopted siblings. There is no need to include siblings **under 10 years of age**.

Please use extra pages if necessary.

Relationship (please specify if full, half-, step- or adopted sibling)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please specify if full, half-, step- or adopted sibling)	
Surname or family name	
Surname or family name at birth	

Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Co-residents

Please supply details of **all persons residing** with you at your address other than those you have already listed above.

There is no need to include co-residents **under 10 years of age**.

Please use extra pages if necessary.

Relationship	
Surname or family name	
Any other previous surname or family names	
Forenames or personal name and middle names	
Forenames/personal name and middle names	
Date of birth	
Town, county and country of birth	

Relationship	
Surname or family name	
Any other previous surname or family names	

Forenames or personal name and middle names	
Forenames/personal name and middle names	
Date of birth	
Town, county and country of birth	

Security information

Please use extra pages if necessary.

In accordance with the Rehabilitation of Offenders Act 1974 and the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975:

- Those applying for police staff and non-police personnel roles are **not** required to declare any information in relation to a protected caution or a protected conviction (further information in relation to these is provided at the end of this form).
- Those applying to become a police officer or a member of the Special Constabulary **must disclose** all convictions and cautions with **no** exceptions.

It is your responsibility to ensure that you understand whether you have a protected caution or conviction and to ensure you complete this form fully and accurately.

Please read this section very carefully.

Have you ever been the subject of an investigation into, arrested for, summonsed for, charged with, cautioned for or convicted of **any offence** by any UK or non-UK police force, law enforcement agency, or other statutory prosecuting authority or agency?

Yes No

Offences include the following matters (please answer every question):

	Yes	No
■ traffic offences (including fixed penalty notices other than for parking)	<input type="checkbox"/>	<input type="checkbox"/>
■ receipt of an absolute or conditional discharge or binding over order	<input type="checkbox"/>	<input type="checkbox"/>
■ receipt of a reprimand, warning, final warning or caution as an adult or juvenile, or any restorative justice disposal	<input type="checkbox"/>	<input type="checkbox"/>
■ being the subject of an anti-social behaviour order, any measures introduced by the Anti-social Behaviour, Crime and Policing Act 2014, such as a criminal behaviour order, civil injunction, football spectator banning order, any order under the Sexual Offences Act 2003, harassment order	<input type="checkbox"/>	<input type="checkbox"/>
■ being issued with a penalty notice for disorder or other fixed penalty notice (other than for parking).	<input type="checkbox"/>	<input type="checkbox"/>

In addition, you must declare if you have:

	Yes	No
■ had any involvement with the military authorities on disciplinary matters (whether involving court martial or not)	<input type="checkbox"/>	<input type="checkbox"/>
■ had any involvement in a criminal investigation (whether or not this has led to a prosecution)	<input type="checkbox"/>	<input type="checkbox"/>
■ had any involvement in misconduct or disciplinary proceedings (whether as a paid employee or as a volunteer)	<input type="checkbox"/>	<input type="checkbox"/>
■ been included on the 'Police Barred List' or 'Police Advisory List'.	<input type="checkbox"/>	<input type="checkbox"/>

<p>If you have answered yes to any of the above, please provide details including incident or offence, sentence or punishment, sentencing authority and dates.</p> <p>Please continue on a separate sheet if necessary.</p>	
--	--

Have you ever been involved in any actions that could be described as politically, religiously, racially, or environmentally disruptive?

Yes No

<p>If you have answered yes, please provide details.</p>	
---	--

Do you associate with any person(s), including family members, who you know or have reason to believe has criminal convictions, or is engaged in criminal activities? An association would include communicating via phone, social media and other forms of communication, not just in person.

Yes No

<p>If you have answered yes, please provide details including name of associate, your relationship to them, address, date of birth (if known), the reason you have nominated them and the closeness of your connection to them. Please also indicate how often you associate with them (eg, at least daily, most weeks, monthly, or how many times a year if less than monthly).</p>	
---	--

Are you aware of any other circumstances, characteristics or conditions with the potential to render you susceptible to pressure or improper influence, such as the misuse of controlled or prescription drugs, financial difficulties, gambling or other addiction?

Yes No

If you have answered yes , please provide details.	
---	--

Please provide details of all instances where you have held a paid or unpaid post (including voluntary work) with the police, HM Forces or HM Government.

Name of organisation	
Rank or post	
Collar or service	
Date from	
Date to	

Financial details

In the last 10 years, have you:	Yes	No	Number of occurrences	Most recent year
Been declared bankrupt?				
Had a loan terminated by a bank or building society?				
Had a credit, store or charge card withdrawn or been notified that a card or account had been defaulted?				
Been the subject of an adverse county court judgment, a sheriff's court or court of session judgment?				
Been party to a voluntary agreement registered with the county court, sheriff's court or court of session?				
Been the subject of an attachment of earnings order?				
Had repossession proceedings started against you?				
Been party to an individual voluntary arrangement, debt relief order or debt management programme?				

If yes to any of the above, please provide details and dates of any discharges, as well as any other relevant information (use extra pages if necessary).	
---	--

Are there any other details or explanations that would help to clarify your current financial status that are not already covered in the answers provided above?

Yes No

If yes , please provide details, including reasons for any outstanding loans or commitments.	
---	--

Declaration

To be completed by the applicant.

- I consent to the information provided on this form being used by the vetting unit for the purposes of vetting.
- I declare that the information I have given is true and complete to the best of my knowledge and belief.
- I undertake to report any material changes in the information I have given.
- I consent to a financial check being carried out.
- I understand that any false statement or deliberate omission I have given in this questionnaire may affect my suitability for security clearance.
- I understand it is my responsibility to inform those named on the form that their details have been provided for the purpose of my vetting application.

Signed

Date

Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975

Protected cautions and protected convictions

Please note: these exceptions (protected cautions and protected convictions) are only relevant to those being vetted for roles **other than police officer and Special Constabulary posts**.

Police officer and Special Constabulary applicants: there are **no exceptions** and all previous convictions and cautions, including those which would ordinarily be considered as 'spent' or protected, must be declared in this application.

Police staff applicants and non-police personnel: the above Exceptions Order introduced **protected convictions and cautions**, and distinguishes between the treatment of the roles of police officers and police support staff. This means that certain old and minor spent convictions and cautions are now considered protected and therefore **do not have to be disclosed**.

While police staff and non-police personnel do still have to declare previous convictions and cautions that would ordinarily be considered as 'spent' under the Rehabilitation of Offenders Act 1974 the exception to this is for **protected** convictions and cautions.

Protected convictions: these **do not** have to be declared by police staff applicants and non-police personnel.

A conviction is considered to be 'protected' if **all** the following criteria apply.

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- No custodial sentence was imposed.
- The individual has not been convicted of any other offence at any time.
- Eleven years or more have passed since the conviction, if the individual was aged 18 or over at the time of conviction, or five years and six months or more have passed since the conviction, if the individual was under 18 at the time of the conviction.

Protected cautions: these **do not** have to be declared by police staff applicants and non-police personnel.

A caution is considered to be 'protected' if **all** the following criteria apply:

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- Six years or more have passed since the caution, if the individual was aged 18 years or over at the time the caution was given, or two years or more have passed since the caution, if the individual was under 18 at the time the caution was given.

***Listed offences** include serious, violent and sexual offences, and offences that which are of specific relevance to the safeguarding of children and vulnerable adults. Listed offences will **never** be filtered or protected.

Sample non-police personnel level 3 (NPPV3) vetting form

Failure to complete all sections could delay this application.

Section one:

To be completed by the employer.

Applicant name.....

Company name.....

Company address.....

Company contact telephone number.....

Company email address.....

Site location.....

Subcontractor (if applicable).....

Type of work to be undertaken.....

Project name (if applicable).....

Project start and finish dates (if applicable).....

Authentication – to be completed by the employer (or sponsor as appropriate).

It is the responsibility of the applicant's employer or sponsor to examine any documentation produced as proof of identity and address.

Means of establishing identity include:

- current UK driving licence
- passport
- certificate of birth, adoption, marriage or civil partnership
- for non-UK nationals only – documentation relating to immigration status and permission to work in the UK

Means of establishing residence, ideally one of the following (other documents may be acceptable locally):

- current utility bill
- mobile phone bill
- local authority tax bill (valid for current year).

List of documents seen	
I have checked the above details as proof of identity of	
Print name	
Position in company or host police force	
Signed	
Date	

To be completed by the sponsor.

Contact name	
Job title and force number	
Location (department or area command)	
Contact number	

Section two:**The following pages must be completed by the applicant.**

Your personal details will not be released without your approval to any other individuals or company, apart from other appropriate departments within this force, another police force or relevant external agency where required for vetting purposes. The personal data you supply will be managed confidentially, securely and in accordance with the General Data Protection Regulation (GDPR) and/or Data Protection Act 2018 as applicable. Personal data will not be retained for longer than is necessary and held in accordance with force retention schedules, after which it will be disposed of securely (see the force privacy notice for further details). Under data protection legislation, individuals have a general right of access to their personal data held by police forces, subject to certain exemptions. Further information in relation to your rights and on how organisations can use your data is available from the Information Commissioner's Office at ico.org.uk

For further information about how we will process your personal data, please refer to our privacy notice here [force to provide hyperlink to full privacy notice].

All questions must be answered. Where a question does not apply to you or you do not know the answer, please enter **N/A** or **N/K** as appropriate. Use extra pages as required.

Applicant's contact details

Home telephone		Mobile telephone	
Work telephone		Email address	

Applicant

Title	
Surname or family name	
Surname or family name at birth	

Any other previous surname or family names	
Forenames or personal name and middle names	
Any alias or previously used names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	

If you or your partner have lived at any other addresses in the past five years, please provide details and dates of occupancy below. Please use additional pages if necessary.

Previous address	
Previous address	

Partner

Title	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Gender	
Date of birth	
Town, county and country of birth	
Current occupation	
Current address	
Postcode	
Address since (insert date)	
Relationship and number of years together	
Please indicate if deceased	

Children

Please enter details of your children, including biological children, stepchildren or adopted children. There is no need to include children **under 10 years of age**. Please use extra pages if necessary.

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please state if biological, step- or adopted)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Parents

Please enter details of your natural parents and any adoptive parents, step-parents or guardians. Please use extra pages if necessary.

Relationship (please state if natural, adoptive, step- or guardian)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please state if natural, adoptive, step- or guardian)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Are your parents divorced or separated?

Yes No

If so, does either parent have a new partner?

Yes No

Please provide details as above for new partners on an extra page.

Brothers and sisters

Please enter details of your siblings, including half-, step- or adopted siblings. There is no need to include siblings **under 10 years of age**.

Please use extra pages if necessary.

Relationship (please specify if full, half-, step- or adopted sibling)	
Surname or family name	
Surname or family name at birth	
Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Relationship (please specify if full, half-, step- or adopted sibling)	
Surname or family name	
Surname or family name at birth	

Any other previous surname or family names	
Forenames or personal name and middle names	
Date of birth	
Town, county and country of birth	
Current address	
Postcode	
Address since	
Please indicate if deceased	

Co-residents

Please supply details of **all persons residing** with you at your address other than those you have already listed above.

There is no need to include co-residents **under 10 years of age**.

Please use extra pages if necessary.

Relationship	
Surname or family name	
Any other previous surname or family names	
Forenames or personal name and middle names	
Forenames/personal name and middle names	
Date of birth	
Town, county and country of birth	

Relationship	
Surname or family name	
Any other previous surname or family names	

Forenames or personal name and middle names	
Forenames/personal name and middle names	
Date of birth	
Town, county and country of birth	

Security information

Please use extra pages if necessary.

In accordance with the Rehabilitation of Offenders Act 1974 and the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975:

- Those applying for police staff and non-police personnel roles are **not** required to declare any information in relation to a protected caution or a protected conviction (further information in relation to these is provided at the end of this form).
- Those applying to become a police officer or a member of the Special Constabulary **must disclose** all convictions and cautions with **no** exceptions.

It is your responsibility to ensure that you understand whether you have a protected caution or conviction and to ensure you complete this form fully and accurately.

Please read this section very carefully.

Have you ever been the subject of an investigation into, arrested for, summonsed for, charged with, cautioned for or convicted of **any offence** by any UK or non-UK police force, law enforcement agency, or other statutory prosecuting authority or agency?

Yes No

Offences include the following matters (please answer every question):

	Yes	No
■ traffic offences (including fixed penalty notices other than for parking)	<input type="checkbox"/>	<input type="checkbox"/>
■ receipt of an absolute or conditional discharge or binding over order	<input type="checkbox"/>	<input type="checkbox"/>
■ receipt of a reprimand, warning, final warning or caution as an adult or juvenile, or any restorative justice disposal	<input type="checkbox"/>	<input type="checkbox"/>
■ being the subject of an anti-social behaviour order, any measures introduced by the Anti-social Behaviour, Crime and Policing Act 2014, such as a criminal behaviour order, civil injunction, football spectator banning order, any order under the Sexual Offences Act 2003, harassment order	<input type="checkbox"/>	<input type="checkbox"/>
■ being issued with a penalty notice for disorder or other fixed penalty notice (other than for parking).	<input type="checkbox"/>	<input type="checkbox"/>

In addition, you must declare if you have:

	Yes	No
■ had any involvement with the military authorities on disciplinary matters (whether involving court martial or not)	<input type="checkbox"/>	<input type="checkbox"/>
■ had any involvement in a criminal investigation (whether or not this has led to a prosecution)	<input type="checkbox"/>	<input type="checkbox"/>
■ had any involvement in misconduct or disciplinary proceedings (whether as a paid employee or as a volunteer)	<input type="checkbox"/>	<input type="checkbox"/>
■ been included on the 'Police Barred List' or 'Police Advisory List'.	<input type="checkbox"/>	<input type="checkbox"/>

<p>If you have answered yes to any of the above, please provide details including incident or offence, sentence or punishment, sentencing authority and dates.</p> <p>Please continue on a separate sheet if necessary.</p>	
--	--

Have you ever been involved in any actions that could be described as politically, religiously, racially, or environmentally disruptive?

Yes No

<p>If you have answered yes, please provide details.</p>	
---	--

Do you associate with any person(s), including family members, who you know or have reason to believe has criminal convictions, or is engaged in criminal activities? An association would include communicating via phone, social media and other forms of communication, not just in person.

Yes No

<p>If you have answered yes, please provide details including name of associate, your relationship to them, address, date of birth (if known), the reason you have nominated them and the closeness of your connection to them. Please also indicate how often you associate with them (eg, at least daily, most weeks, monthly, or how many times a year if less than monthly).</p>	
---	--

Are you aware of any other circumstances, characteristics or conditions with the potential to render you susceptible to pressure or improper influence, such as the misuse of controlled or prescription drugs, financial difficulties, gambling or other addiction?

Yes No

If you have answered yes , please provide details.	
---	--

Please provide details of all instances where you have held a paid or unpaid post (including voluntary work) with the police, HM Forces or HM Government.

Name of organisation	
Rank or post	
Collar or service	
Date from	
Date to	

Please provide details of all occupations or posts you have held for the last 12 months and identify your line managers for each post held. Please use extra pages if necessary.

Employer	
Rank or post	
Line manager	
Contact details	
Email address	
Date from	
Date to	

Financial details

The information required in this section is to allow the chief constable to fulfil a statutory obligation to run an efficient and effective force. To meet this obligation, we must provide for the safety of our staff, and ensure that those with access to force information are trustworthy and unlikely to breach confidences.

Any interference with an individual’s right to respect for private and family life under Article 8 of the European Convention on Human Rights (ECHR) will only be that which is proscribed by law, necessary in a democratic society and a proportionate means of achieving a legitimate aim. The legitimate aims of such action will include the protection of the rights and freedoms of others, safeguarding public safety, the prevention of disorder and crime, and, in some cases, national security.

How would you describe your overall financial situation?

Comfortable Manageable Difficult to cope
Do not know position

Property

Do you:

Own your home outright Own your home with a mortgage
Pay rent Receive accommodation free of charge

What is your estimate of the total current market value of all properties owned? £.....

Have you in the past five years:

	Yes	No
Extended the term of your mortgage(s) to make it easier to pay	<input type="checkbox"/>	<input type="checkbox"/>
Taken out a second mortgage or enlarged your current mortgage, for reasons other than to finance home improvements	<input type="checkbox"/>	<input type="checkbox"/>

Monthly income and expenditure

Combined take-home pay of you and your spouse or partner £.....

State benefits, eg, child benefit £.....

Other income, eg, from shares or property £.....

Total **£.....**Is any of the above from overtime or bonus payments? Yes No

If so, how much? £.....

Monthly amount of regular financial commitments, £.....
excluding loans and credit cards(include rent, mortgages,
household utilities, and other regular and long-term payments,
commuting costs and maintenance payments).**Taking into consideration likely changes in your income and key commitments, do you expect in the next year to be:**Much better off Slightly better off About the same Slightly worse off Much worse off **Saving and borrowing****Please indicate how much your household has saved and invested in savings accounts and other non-property investments, such as stocks, shares and trusts.**£0 - £250 £251 - £2,500 £2,501 - £10,000 £10,001 - £50,000 Over £50,000

Do you save:

Regularly Occasionally Hardly ever **During the last five years, have you received or acquired money or assets worth more than £5,000 other than salary?**Yes No

Total amount £.....

If you have answered yes , please provide details.	
---	--

Please enter details of your current borrowings (eg, loans, HP and mail order - exclude mortgages).

Number of loans and other relevant borrowings	Amount yet to repay	Total monthly repayments
	£	£

Are any of these loans:

Secured against property

Yes

No

Extended for a period of five years or more

Please indicate below the purposes of these loans and provide details on an extra page.

Home improvements

Holidays

Debt repayment

Stocks and shares

Cars

Consumer durables

Bridging finance

Student loans

General expenses

Other

Please enter details of any credit arrangements (eg, credit, charge and store cards) and provide details on an extra page.

Number of cards	Total limit	Total outstanding after last payment
	£	£

Do you normally pay the balance on your cards each month?

Yes

No

How many current accounts do you have?.....

Compared with a year ago, do you owe more or less on your loans, cards and overdrafts?

Much more Slightly more About the same
 Slightly less Much less

Do you regularly use an overdraft facility?

Yes No

Did you exceed your agreed overdraft limit, ie, in three or more months out of the last six months?

Yes No

If you have a negative balance on any of your accounts, please provide details of the accounts and amounts outstanding.	
---	--

In the last year, have you been unable to meet any major commitments (eg, mortgage, rent or loan repayments), in two or more consecutive months?

Yes No

If you have answered yes , provide details of accounts and amounts outstanding.	
--	--

Financial history

Have you ever been declared bankrupt? Yes No

If **yes**, please provide details:

Date	Court	Reason

Do you have any secondary employment, financial or other business interest (including directorships or company secretarial positions) not related to your primary duties as contractor or partner agent with the police?

Yes No

If yes , please provide details.	
---	--

In the last 10 years, have you:	Yes	No	Number of occurrences	Most recent year
Had a loan terminated by a bank or building society?				
Had a credit, store or charge card withdrawn or been notified that a card or account had been defaulted?				
Been the subject of an adverse county court judgment, a sheriff's court or court of session judgment?				
Been party to a voluntary agreement registered with the county court, sheriff's court or court of session?				
Been the subject of an attachment of earnings order?				
Had repossession proceedings started against you?				
Been party to an individual voluntary arrangement, debt relief order or debt management programme?				

Are there any other details or explanations that would help to clarify your current financial status that are not already covered in the answers provided above?

Yes No

If yes , please provide details, including reasons for any outstanding loans or commitments.	
---	--

Declaration

To be completed by the applicant.

- I consent to the information provided on this form being used by the vetting unit for the purposes of vetting.
- I declare that the information I have given is true and complete to the best of my knowledge and belief.
- I undertake to report any material changes in the information I have given.
- I consent to a financial check being carried out.
- I understand that any false statement or deliberate omission I have given in this questionnaire may affect my suitability for security clearance.
- I understand it is my responsibility to inform those named on the form that their details have been provided for the purpose of my vetting application.
- I understand that the information provided as part of the vetting process will be treated in the strictest confidence, but will not be immune from disclosure and consideration in respect of serious disciplinary or criminal matters that may be revealed through or facilitated by vetting enquiries. Where this is the case, information provided in this questionnaire may be disclosed in any subsequent proceedings.

Signed

Date

Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975

Protected cautions and protected convictions

Please note: these exceptions (protected cautions and protected convictions) are only relevant to those being vetted for roles **other than police officer and Special Constabulary posts**.

Police officer and Special Constabulary applicants: there are **no exceptions** and all previous convictions and cautions, including those which would ordinarily be considered as 'spent' or protected, must be declared in this application.

Police staff applicants and non-police personnel: the above Exceptions Order introduced **protected convictions and cautions**, and distinguishes between the treatment of the roles of police officers and police support staff. This means that certain old and minor spent convictions and cautions are now considered protected and therefore **do not have to be disclosed**.

While police staff and non-police personnel do still have to declare previous convictions and cautions that would ordinarily be considered as 'spent' under the Rehabilitation of Offenders Act 1974 the exception to this is for **protected** convictions and cautions.

Protected convictions: these **do not** have to be declared by police staff applicants and non-police personnel.

A conviction is considered to be 'protected' if **all** the following criteria apply.

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- No custodial sentence was imposed.
- The individual has not been convicted of any other offence at any time.
- Eleven years or more have passed since the conviction, if the individual was aged 18 or over at the time of conviction, or five years and six months or more have passed since the conviction, if the individual was under 18 at the time of the

conviction.

Protected cautions: these do not have to be declared by police staff applicants and non-police personnel.

A caution is considered to be 'protected' if **all** the following criteria apply:

- It is not for a listed offence* under section 2A(5) of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
- Six years or more have passed since the caution, if the individual was aged 18 years or over at the time the caution was given, or two years or more have passed since the caution, if the individual was under 18 at the time the caution was given.

***Listed offences** include serious, violent and sexual offences, and offences that which are of specific relevance to the safeguarding of children and vulnerable adults. Listed offences will **never** be filtered or protected.

Vetting data capture form

Period		
Force		
All clearances	Total applications received	
	Total applications granted	
	Total applications refused	
RV	Total applications received	
	Total applications granted	
	Total applications refused	
MV	Total applications received	
	Total applications granted	
	Total applications refused	
NPPV1	Total applications received	
	Total applications granted	
	Total applications refused	
NPPV2 (abbr)	Total applications received	
	Total applications granted	
	Total applications refused	
NPPV2 (full)	Total applications received	
	Total applications granted	
	Total applications refused	
NPPV3	Total applications received	
	Total applications granted	
	Total applications refused	

Sample financial scoring sheet

Review and assessment of personal finances

(Note: this scoresheet should be used as a guide only. Decisions still have to be reached on a case-by-case basis, taking all relevant information into consideration).

Name:

Force no:

Area 1

Column IA		Column IB		Column II		
Question F28:		If F28 =Y (YES) then show 5				
Problem (question F31)	Show number of occurrences in each of the categories below	Date of occurrence				
		Occurrences in the last 5 years scores 5 for each occurrence	More than 5 years ago scores 2 for each occurrence			
Loans terminated		x	5	2	=	+
Cards withdrawn		x	5	2	=	+
County court judgment		x	5	2	=	+
Voluntary agreement		x	5	2	=	+
Attachment of earnings		x	5	2	=	+
Repossession proceedings		x	5	2	=	+

Total area 1

Area 2

		Column I					Column IB
(Commitments)	F11		(Divide F11 by F9)				
(Income)	F9						
Sub-total	=		× 10	=		+	
			If F8 = Y, score 1			+	
			If F22 = 'much more', score 1			+	
			If F24 = Y, score 1			+	
			If F26 = Y, score 1			+	
			Sub-total	=		+	

Total area 2

Area 3

		Column I			Column IB
(Loan debt)	F16b		+	(Show outstanding totals)	
(Cards debt)	F19c		+		
(Overdraft)	F25		+		
(Outstanding bills)	F27		+		
Total debt	=		+	(Divide total debt by income to obtain the debt/income ratio)	
(Income)	F9				
Debt/income ratio (R)		(R)		If R is less than 5, then score 0; if R is between 5 and 10, then score 1; if R is 10 or more, then score 3.	+
				If F8 = Y, score 1	+
				If F17 = Y, score 1	+
				If F18 is 'holidays', score 1	+
				If F18 is 'repay debts', score 1	+
				If F18 is 'buy stocks or shares', score 1	+
				If F18 is 'bridging finance', score 1	+
				If F18 is 'general expenses', score 2	+
				Sub-total column II	
(Number of loans)	F16a			+	
(Number of cards)	F19a			+	
(Number of accounts)	F21			+	
(Total accounts) (T)		(T)		If T is greater than 10, score 1	+
				Total area 2	
Area 1		Area 2		Sum of area 1 + area 2 + area 3	

Summary

Name:.....

Force no:.....

- a) Where total is below 12, proceed to Area 5.
- b) Where total is between 12 and 15, proceed to Area 4.
- c) Where total is over 15, one of the areas already reviewed will have indicated the need for an interview with the individual. Before conducting an interview, the assessor should proceed to analyse Areas 5 and 6 to highlight any other financial problems.

Area 4 – potential for future financial difficulties

Further consideration is required for any of the following:

F10 is yes (overtime or bonus payments) (the household is dependent on temporary payments)

F12 (shows the individual is likely to be slightly or much worse off in the future)

Area 5 – assets possibly inconsistent with income

Further consideration is required for any of the following:

F13 (savings and investment) is more than £50,000

F13 is greater than £25,000 and F14 is occasionally or hardly ever

F13 is greater than £25,000 and F15 is no

Area 6 – potential conflicts of interest

Conflicts of interest will need to be dealt with on a case-by-case basis.

Guidance notes on completing the vetting form

It is the candidate's responsibility to protect their own and others' personal data contained within the completed documents while in transit to [X Constabulary/Force – amend as applicable]. If you are not content that an email is an appropriately secure method, please make contact with the Force Vetting Unit [insert contact details] to discuss.

[X Constabulary/Force – amend as applicable] is committed to maintaining the highest levels of honesty and integrity, and to preventing corrupt, dishonest, unethical or unprofessional behaviour. Vetting is carried out on all people who seek to be appointed as police officers or volunteers, employed as police staff or otherwise given unsupervised access to police assets. This is to ensure that the reputation of the service is maintained and that its assets are safeguarded.

Any infringement of an individual's rights under the European Convention on Human Rights will only be that which is necessary and proportionate. The legitimate aims of such action will include the protection of the rights and freedoms of others, safeguarding public safety, the prevention of disorder and crime, and, in some cases, national security.

The information gained through the vetting procedure will be held securely and only accessed by those with a legitimate reason to do so. The decision on whether or not to progress your application will be based upon this information and will be made by taking into account the circumstances and any other relevant information.

Please note that all relevant questions on the form are to be answered, ensuring that all relevant boxes are completed as appropriate. If you are unable to answer a question, as the information is unknown to you or is unobtainable, then you must provide an explanation. Failure to accurately complete vetting forms will lead to delays. 'Not applicable' (N/A) should only be used where appropriate (for example, 'previous surname – N/A').

It is important that the vetting form is completed fully and correctly. Failure to do so may result in your application being rejected or, for existing employees needing vetting renewals, could lead to a disciplinary procedure.

Within its vetting process, [X Constabulary/Force - amend as applicable] recognises its legal obligations under the Equalities Act 2010 and the Gender Recognition Act 2004 (with particular attention paid to section 22, regarding disclosure of protected information). Additionally, [X Constabulary/Force - amend as applicable] acknowledges the government guidelines and the requirements to secure protected information - whether it is communicated verbally or materially, or held electronically - as required under UK law. Any disclosed information is managed by these protocols and is not disclosable to any other parties without explicit written permission from the owner of the protected information. [X Constabulary/Force - amend as applicable] acknowledges its legitimate aim for requesting disclosure and its legal obligations under these requirements.

If you have any concerns regarding disclosing information in relation to gender history, please contact the Equality and Diversity Team [or force equivalent - amend as applicable] on [...@pnn.police.uk - amend as applicable]. Please be reassured that all information is treated in the strictest confidence and only used for the purposes of vetting.

Where you are providing details of another individual (for example, a partner or family member) that discloses their gender history, the same protections are afforded.

You are obliged to provide this information. However, it is recognised that these security checks will seek information that may lead to the identification of transgender status. This information will remain confidential and the disclosure of this information will be restricted to those members of staff involved in the vetting process, who will be required to honour that confidentiality under section 22 of the Gender Recognition Act 2004.

The information contained within this form will be forwarded to the [X Constabulary/Force - amend as applicable] Vetting Unit to enable vetting to be completed.

The vetting will involve the appropriate interrogation of all information systems used by [X Constabulary/Force - amend as applicable] both locally and nationally.

In the event that any relevant information is divulged that requires confirmation or clarification, it may be necessary to disclose information contained within this form to other organisations or agencies not part of [X Constabulary/Force - amend as applicable]. These organisations are also bound by their equality duty and are subject to the same laws of confidentiality.

As part of the aforementioned confirmation or clarification, the organisation or agency concerned may be requested to disclose personal information.

If you have any questions in relation to any aspect of the vetting form, including whether or not specific information needs to be disclosed, please contact the Vetting Team for guidance.

Vetting decision record form

Subject name:	Date of birth:
Reference number:	Clearance level:
Position clearance required for:	Is subject serving member of the force? Yes/No

Review of findings

Summary of relevant information.

Include any information found but not considered and why (for example, 'protected conviction, cannot be considered as it is a police staff position').

Risk assessment

- What are the potential risks?
- How are these relevant to the role?
- What do the Code and APP say?
- Are further enquiries required and proportionate?
- What risk mitigation measures can be considered?

Decision and rationale

Disclosure

Can the rationale be provided to the subject in full or is any redaction required?

Decision maker:

Date:

Sample transferee recruitment checklist

This document has been prepared for adoption by forces to ensure that all relevant data relating to transferees and those who have served with other forces is requested and received prior to confirmation of appointment or employment. Each force will adopt a process for this that fits with their own local procedures. It is not intended, however, that responsibility for this falls solely to the vetting function. There should be a multi-disciplinary approach, with departments and units responsible for securing the aspects relevant to their area of business. The HR and recruitment function should have oversight and coordination responsibility to ensure that all necessary data is captured.

Data request record

HR information

	Date requested	Date received
Confirmation of service dates		
In-service report		
Sickness history		
Business interests report		
Salary details		
Pensions information		
Training history		
Promotion details		

	Date requested	Date received
Confirmation of vetting clearance		
Vetting file		
Complaint and misconduct history		
CCU intelligence		

Vetting appeal form

Guidance notes

This form should be completed in full.

In order for your appeal to be considered, it must be based on one or more of the following grounds:

- further information is available that was not considered by the original decision maker
- the decision is disproportionate considering the circumstances or details of the case
- the decision was perverse or unreasonable
- no explanation has been given for the decision

It is your responsibility to explain why the grounds apply in your particular case. If you do not provide this detail, or do not provide sufficient detail, this will have a detrimental effect upon your appeal.

The completed appeal form must be submitted to [**email address**] within [XX] days of receipt of the form.

If you have any questions in relation to the form, please contact the Force Vetting Unit for guidance.

Your name:	Your date of birth:
Your home address:	
Your contact number:	
Your email address:	
Vetting Reference Number (if known):	
Position applied for:	
Reasons for withholding clearance:	
Notification of decision date: (Appeal to be submitted within 21 days)	
Grounds for appeal (select all that apply)	
<ol style="list-style-type: none">1. Further information is available that was not considered by the original decision maker.2. The decision is disproportionate considering the circumstances or details of the case.3. The decision was perverse or unreasonable.4. No explanation has been given for the decision.	

The relevant fields on the next page must be completed in order for the appeal to be considered.

If the grounds for appeal are that no information has been given, the next page can be left blank.

a) Please detail below the additional information that was not available to the original decision maker and why this is relevant to your appeal.

b) Please detail why you believe the decision is disproportionate

c) Please detail why you believe the decision is perverse or unreasonable.

Please detail below any additional information you wish to submit in support of your appeal.

Declaration

I declare that all of the information provided above is accurate to the best of my knowledge.

I understand that I will be contacted with the result of the appeal as soon as practicable once the appeal has been considered.

I understand that the decision will be final and that there will be no further appeal available within [X Police/Constabulary - amend as applicable].

I understand that if the form is not completed in full, my appeal may not be considered.

Signed: _____

Date: _____

Sample letter of rejection

Force address:

Vetting reference:

Failure of the police vetting process

Dear

Following your recent application for police vetting clearance, I am writing to inform you that you have failed the police vetting process. This decision has been made in accordance with the requirements of the Vetting Code of Practice and associated Authorised Professional Practice on Vetting.

The reason for your failure is:

You have a right of appeal only if one or more of the following grounds apply:

- further information is available that was not considered by the decision maker
- the vetting rejection was disproportionate considering the circumstances or details of the case
- the decision was perverse or unreasonable
- no explanation has been given for the decision

Should you wish to submit an appeal, you must do so in writing, clearly identifying and supporting one or more of the grounds shown above. Please send your appeal to your Force Vetting Manager.

If you fail to submit sufficient information that supports the grounds for an appeal to be considered, this process will be terminated.

You should be aware that if the reason for your failure includes information that relates to a third party, it will not be released to you under the provisions of the Data Protection Act 1998. For further information on the appeals process, see [Vetting appeal form](#).

The decision of the appeal authority is final.

Yours sincerely

Sample annual security form

Date of issue:

Issued by:

If completing by hand, please write in black ink using block capitals.

Subject details

To be completed by the force vetting unit.

- a. Family name:.....
- b. Forename(s) or personal name(s):.....
- c. Date of birth:.....
- d. Staff number:.....
- e. Current work address:.....
- f. Current clearance held:
DV MV SC enhanced NPPV3

Your annual security appraisal is now due. This routine but important process is required for all individuals cleared to the highest levels, in order to review your continued suitability to access highly classified information and assets. This allows us to:

- a. update your vetting file to reflect any changes in your personal circumstances
- b. identify and review any issues that may relate to security

We may need to make follow-up enquiries concerning information that you provide, particularly where personal circumstances have changed. Please contact the force vetting manager if you have any questions relating to any aspects of this form or any part of the security appraisal process. You should be aware that failure to complete this form and return it to the force vetting unit could have a detrimental impact on your continued suitability to hold a security clearance.

All answers provided for this questionnaire and related information will be treated in the strictest confidence at all times.

Part 1 – to be completed by the vetting subject

1. Posts and line managers

Please list all the posts that you have held during the appraisal period, together with details of your line manager in each.

Title of post and team	Dates	Name of line manager (if more than one, tick box to whom part 2 of this form has been sent to)	Tick	Line manager's current work address
			Tick	

2. Access to SECRET and TOP SECRET material

How would you assess your current access to SECRET and TOP SECRET material?

	SECRET	TOP SECRET
More than one document a week		
More than one document a month		
Fewer than one document a month		

3. Personal circumstances

You are obliged to inform the organisation if your personal circumstances have changed. Additionally, you must report any problems or issues that you have experienced that may be relevant to security. For example, you must report any of the following:

- 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
- significant change in financial circumstances, eg, county court judgment, bankruptcy, windfall
- arrest, police caution, civil or criminal proceedings brought against you, including all motoring convictions (except those restricted to parking infringements)
- any new associations through close relatives (such as those brought about by marriage, civil partnership, friendship, residence overseas)
- involvement in, or approaches by, any political, religious or protest group of an extreme nature
- extraordinary approaches by journalists or others about the work of your employer, or any other persistent or unusual enquiry
- enrolment for outside studies relating to the work of your employer, or any paid part-time work
- association with any individual involved in criminal activity or any person who associates with others involved in criminal activity

Has anything occurred during the appraisal period as outlined above?

Yes No

4. Personal problems

Have you experienced any serious personal difficulties during the appraisal period (eg, ill health, financial or legal troubles, domestic or marital, or professional problems)? Health matters should be notified directly to occupational health who will advise you accordingly.

Yes No

5. Personal finance

Has there been any significant change in your financial circumstances (or those of your spouse or partner) during the appraisal period (eg, bankruptcy, source of income acquired or lost, windfall exceeding £5,000)?

Yes No

6. Employment

Do you have:

- a. any reservations, moral or otherwise, about any aspect of your work or the wider activities of your employer?

Yes No

- b. any cause for serious complaint about your job, your employer or a colleague?

Yes No

If you have answered yes to any of the questions 3 to 6 above, please give full details:	
--	--

Declaration

- I understand my obligation to inform the force vetting unit of any material changes in my circumstances.
- I have today passed part 2 of this form to the appropriate line manager, as requested in part 1 above.
- I consent to further necessary vetting checks being made as appropriate arising from information disclosed and enquiries made.
- I declare that the information I have provided is true and completed to the best of my knowledge and belief.

Signed

Date

Telephone number

What happens next?

Once you have completed part 1 of this form, you should return it to the force vetting manager and pass part 2 of the form to your line manager for completion.

Once both parts of the form have been received, your vetting file will be updated to reflect any changes you have reported. Occasionally, further contact may be required to clarify the information provided. More often than not, no further action will be required until your next security appraisal or vetting review.

Many thanks for your cooperation.

Part 2 – to be completed by line manager

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

1. The annual security review of the vetting subject named on this form is now due and you are understood to be the line manager most suitable to complete it. Please complete part 2 of the form and return it to the force vetting officer within two months of the date it was issued (page 1 refers). Failure to complete and return this form may have a detrimental impact on the subject's continued suitability to hold their security clearance.
2. Line managers are required to complete an annual security review for individuals who hold MV, SC and DV clearance. Appraisals should provide an honest and 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.

3. Contact with the subject

a. For what period has the subject been under your supervision?

From: _____ To: _____

b. How much contact do you have with the subject at work?

Daily Weekly Less frequently than weekly

c. How well do you know the subject socially?

Well Slightly Not at all

d. Do you have any reservations about supervising the subject?

Yes No

If yes, please give details below. If necessary, please continue on a separate sheet.

4. Personal qualities

If you have any concerns regarding the following aspects of the subject, please give details below:

a. Personality traits (eg, interpersonal skills, career satisfaction, reliability, stability, discretion, ability to cope with pressure, recklessness)

b. Security awareness (eg, their attitude towards personal, physical and IT security procedures).

5. Behaviour

a. Have you noticed any changes in the subject's behaviour?

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 continue on a separate sheet.

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

- association or contact with subversive organisations?
Yes No
- misuse of drugs?
Yes No
- misuse of alcohol?
Yes No
- unreliability, dishonesty, untrustworthiness or indiscretion?
Yes No
- significant financial difficulties or unexplained affluence?
Yes No
- conduct liable to lead to vulnerability or blackmail?
Yes No
- changes in personality traits?
Yes No
- having poor interpersonal skills?
Yes No

If yes, please give details below. If necessary, please continue on a separate sheet.

6. Clearance requirement

a. Notwithstanding your previous answers, are you aware of any other grounds that might cast doubt on the subject's continued suitability for security clearance?

Yes No

If yes, please give details. If necessary, please continue on a separate sheet.	
---	--

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

b. Is input from another supervisor needed to give a full and accurate appraisal?

Yes No

If yes, please give their contact details below.	
--	--

Is there anything that you wish to discuss personally with the force vetting officer?

Yes No

Signed.....

Date.....

Family name.....

Forename(s).....

Please return complete forms to.....

Sample letter to prospective police officers and special constables: taking of fingerprints and DNA

Dear

I am writing to you to seek your assistance in the progression of your application for police officer or special constable. I am asking you for your consent to have your fingerprints and a sample of your DNA taken for the purposes of a speculative search. I am also asking you to consent to your fingerprints being retained on the Police Elimination Database (PEDb) and to the DNA profile obtained from your DNA sample being retained on the Centralised Elimination Database (CED).

Every prospective police officer and special constable is required to have their fingerprints and a DNA sample taken, in accordance with Regulation 10A of the Police Regulations 2003 (as amended by the Police (Amendment) Regulations 2015) and Regulation 1ZA of the Special Constable Regulations 1965 (as amended by The Special Constables (Amendment) Regulations 2012).

The purpose of obtaining fingerprints and DNA samples is to allow for a speculative search to be made against the local and national databases prior to your appointment to the police service. This is to ensure that you have not previously come to adverse police attention that you have not informed us of, and to also ensure that you are not linked to any outstanding crime scenes.

If your appointment progresses, your fingerprints will be retained separately on the PEDb. Your DNA profile will be retained on the CED in line with the Police Regulations 2003 or the Special Constabulary Regulations 1967 as appropriate. Your fingerprints and DNA profile will be used for the purposes of elimination only. This allows the force to identify fingerprints and DNA that may be left unwittingly at scenes-of-crime by police officers, special constables or police staff. Records may be held locally by the force in hard-copy format. Scenes-of-crime fingerprints are searched routinely against all records on the fingerprint PEDb.

The speculative search of your fingerprints and their retention on the PEDb and the speculative search of your DNA profile on the CED is a consensual process. It is important that you fully understand what is

being done and that you provide your consent to it taking place. I must, however, inform you that your appointment to the police service will not proceed if you choose not to consent to this procedure.

Your DNA sample will be destroyed within six months of it being taken, following a satisfactory profile being derived from it. Your fingerprints, DNA sample and DNA profile, and all copies and records will be destroyed immediately if you are not appointed.

If you are appointed but later leave the police service, your fingerprints will immediately be removed from the PEDb and destroyed. This is subject to the retention of any hard copies with case papers until the conclusion of any outstanding case or impending trial where the fingerprints may be subject to disclosure. Your DNA profile will be removed and destroyed 12 months after you have left the service.

Yours sincerely

Chief Officer

Sample letter of consent to be returned signed by prospective police officers and special constables: taking of fingerprints and DNA

I consent to my fingerprints and a DNA sample being taken and then used for a speculative search against the respective databases to ascertain whether I have come to adverse police attention or whether my fingerprints or DNA are linked to any outstanding crime scenes. I also consent to my fingerprints being added to and retained on the Police Elimination Database (PEDb) and my DNA profile being added to and retained on the Centralised Elimination Database (CED) for elimination purposes, if I am appointed.

I understand that records and copies of my fingerprints, sample and profile will be destroyed immediately if I am not appointed or, if I am appointed, immediately after I leave the police service in the case of my fingerprints, and 12 months after I leave the police service in the case of my DNA profile.

Signed

Date

Sample letter for issue to prospective PCSOs and police staff: taking of fingerprints and DNA

Dear

I am writing to ask for your consent to have your fingerprints and a sample of your DNA taken for the purposes of a speculative search. I am also asking you to consent to your fingerprints being retained on the Police Elimination Database (PEDb) and to the DNA profile derived from your DNA sample being retained on the Centralised Elimination Database (CED).

The purpose of obtaining fingerprints and DNA samples is to allow for a speculative search to be made against the local and national databases prior to your appointment to the police service. This is to ensure that you have not previously come to adverse police attention that you have not informed us of, and to also ensure that you are not linked to any outstanding crime scenes.

If your appointment progresses, your fingerprints will be retained separately on the PEDb and your DNA profile will be retained on the CED. Your fingerprints and DNA profile will be used for the purposes of elimination only. This allows the force to identify fingerprints and DNA that may be left unwittingly at scenes-of-crime by police officers, special constables or police staff. Records may be held locally by the force in hard-copy format. Scenes-of-crime fingerprints are searched routinely against all records on the fingerprint PEDb.

The speculative search of your fingerprints and their retention on the PEDb and the speculative search of your DNA profile on the CED is a consensual process. It is important that you fully understand what is being done and that you provide your consent to it taking place. I must, however, inform you that your appointment to the police service will not proceed if you choose not to consent to this procedure.

Your DNA sample will be destroyed within six months of it being taken, following a satisfactory profile being derived from it. Your fingerprints, samples and DNA profile, and all copies and records will be destroyed immediately if you are not appointed.

If you are appointed but later leave the police service, your fingerprints will immediately be removed from the PEDb and destroyed. This is subject to the retention of hard copies with case papers until the conclusion of any outstanding investigation or impending legal proceedings where the fingerprints may be subject to disclosure. Your DNA profile will be removed and destroyed 12 months after you have left the service.

Yours sincerely

Chief Officer

Sample letter of consent to be returned signed by prospective PCSO and police staff: taking of fingerprints and DNA

I consent to my fingerprints and a DNA sample being taken and then used for a speculative search against the respective databases to ascertain whether I have come to adverse police attention or whether my fingerprints or DNA are linked to any outstanding crime scenes. I also consent to my fingerprints being added to and retained on the Police Elimination Database (PEDb) and my DNA profile being added to and retained on the Centralised Elimination Database (CED) for elimination purposes, if I am appointed.

I understand that records and copies of my fingerprints, sample and profile will be destroyed immediately if I am not appointed or, if I am appointed, immediately after I leave the police service in the case of my fingerprints, and 12 months after I leave the police service in the case of my DNA profile.

Signed

Date

About the College

We're the professional body for the police service in England and Wales.

Working together with everyone in policing, we share the skills and knowledge officers and staff need to prevent crime and keep people safe.

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