

Industry Security Notice

Number 2011/03

Subject: Procedure for UK contractors without a Facility Security Clearance (FSC) (Non List X) to obtain NATO Personnel Security Clearances for their employees to undertake work on NATO premises.

Introduction: This Industry Security Notice (ISN) replaces ISN 2010/02. The procedure for obtaining a NATO Personnel Security Clearance (PSC) certificate for employees of UK companies (without an FSC) tendering for, working on, or being awarded a contract by NATO or any of its constituent organisations, has been altered following the introduction of the CERBERUS IT system at the Ministry of Defence (MOD) Defence Vetting Agency (DVA).

Action by Industry: Companies requiring such clearances for their employees must submit applications direct to the DVA in York. To do so they will be provided, or must obtain, a letter from the NATO contracting authority which confirms the PSC requirement; a template for this is attached at Annex A.

To enable the company to request a NATO PSC it must apply to the DVA to open a CERBERUS sponsor account. The sponsor plays a key role in confirming the requirement for vetting (which is essential under UK law), for confirming the identity of the individual, and for checking any other information that may be held on him/her. To apply for a sponsor account, either a Director or the Head of Human Resources of the company should use the attached form (Annex B), accompanied by the NATO letter. Guidance on completing the CERBERUS account application form is attached at Annex C. When completing the form the company should request an Internet Portal Account only and disregard references to Departmental Security Authorities, which are relevant only to MOD organisations. The form, together with the NATO letter, should then be forwarded to the DVA either by e-mail (a scanned copy of the NATO letter will be acceptable) to DVA -CS-CSMT@MOD.UK or in hard copy to Customer Accounts Team, Room GV11, DVA, Imphal Barracks, York YO10 4AS.

Within approx 48 hours sponsors will receive an e-mail informing them how to verify and action their account; the email will also include their unique

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sponsor ID, which must be used on all applications (whether submitted electronically or in hard copy) and in any other dealings with the DVA.

To submit an application sponsors should access their portal and initiate a clearance request. Full instructions are at:

http://www.mod.uk/NR/rdonlyres/B840A6DE-4B50-412C-A1BE-54AF6D62EF2B/0/E_Form_Portal.pdf

Alternatively if internet facilities are not available to both sponsor and vetting subject, or if preferred, sponsors can download the relevant form from the DVA website and forward the completed hard copy to the DVA. Electronic submission will however in all cases result in a speedier service.

To access and complete hard copy forms go to:

<http://www.mod.uk/DefenceInternet/AboutDefence/WhatWeDo/SecurityandIntelligence/DVA/>

Under Related pages find Defence Vetting Agency Publications and then under security Questionnaires find Form NSV 001 for SC and Form NSV 002 for DV. For SC the vetting subject completes Section 3 on page 1 through to and including page 29. The sponsor completes section 2 and pages 27-29. On page 2 the post should be designated non-reserved. Sponsors will be able to use their portal to monitor progress on each application.

DVA NATO PSC action normally takes approximately 4 weeks. When completed, the DVA will provide the contractor with the NATO PSC for their employees, which should be presented to the NATO contracting authority. The NATO PSC will be valid for 3 years. If the employee will still be engaged on the contract after the 3 year period the company must undertake the same process to re-validate the NATO PSC prior to the date of its expiry.

After clearance has been given, the employer/sponsor is responsible for actively managing the individual and for reporting any matters of potential security concern to the DVA. Failure to do so may lead to CERBERUS sponsorship status being removed

Expiry Date: This ISN remains valid indefinitely or until superseded.

Point of Contact: DVA Policy, Plans & Quality Branch, Room 235, Building 107, Imphal Barracks, Fulford Road, York YO10 4AS. Tel: 01904 665906; E-Mail DVA-PPQ-MGR2@mod.uk

15th March 2011

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**TEMPLATE OF THE LETTER TO BE PROVIDED BY A NATO ORGANISATION IN SUPPORT
OF NATO PERSONNEL SECURITY CLEARANCES FOR PERSONNEL EMPLOYED IN UK
CONTRACTORS TENDERING FOR OR AWARDED A NATO CONTRACT**

To whom it may concern

Subject: APPLICATION FOR NATO PERSONNEL SECURITY CLEARANCES

1. **[Insert name and full address of UK contractor]** are conducting work for **[Insert name of NATO Agency/Organisation]** on **[Insert subject and brief details of the tender or contract]**.
2. The work requires the above mentioned contractor's personnel involved in the contract to have access to NATO classified information at the level of CONFIDENTIAL or above and/or unescorted access to **[Insert details of establishment/s]**
3. It is requested that the personnel listed at Annex be vetted in accordance with C-M(2002)49 to obtain a NATO Personnel Security Clearance to be permitted access to information and material marked up to and including NATO SECRET.

Signed by an appropriate authorised employee of the NATO Agency

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ANNEX B



MINISTRY OF DEFENCE

Helpdesk Opening Times

Mon – Thurs 0800 - 1700

Fri 0800 - 1500

Telephone: 01904-662644

Fax: 01904-662765

Email: dva-cs-csmt-gm@mod.uk

CERBERUS SPONSOR ACCOUNT – APPLICATION FORM

Surname		Role Within Organisation	
Forename(s)		Require Internet Portal Account	
Date Of Birth		If Yes Insert E-Mail Address	
Place Of Birth		Require Restricted Portal Account	
Country Of Birth		If Yes Insert E-Mail Address	
Department		Requires VSI Account Only	
Organisation Name		Require Sponsor Account	
Phone Number Incl Area Code		Require Super-Sponsor Account	
Full Address and Postcode			
<p>Once complete please return the application form to your Departmental Security Authority (DSA).</p> <p>For guidance on how to complete this form please see the guidance notes for Cerberus sponsor accounts.</p> <p>Contact details of all the MOD Departmental Security Authorities are available on the DVA Intranet site or by contacting the DVA Helpdesk on 94777 2644 / 01904 662644</p> <p>Guidance notes to assist you in completing this form are available on the DVA Internet site and from your Departmental Security Authority.</p> <p><u>DSA AUTHORISING BODY</u></p> <p>By forwarding the completed form to the DVA you are agreeing that the named person is authorised to act in the capacity of a sponsor for national security vetting.</p>			

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Guidance Notes For Completion Of The Cerberus Sponsor Account Application Form.

This document gives an in-depth explanation of the terminology used across the full range of Cerberus sponsor access and permissions.

Case Management System (CMS).

CMS access is only granted to users who are required to make and record vetting decisions. This will be available to DVA staff the 4 MOD Service Lead Commands (SLC) and all Other Government Department (OGD) decision makers who we undertake work for. **Please note: this account is not available to sponsors of National Security Vetting (NSV) applications.**

e-Form Portals

There are two e-Form portals available for sponsoring National Security Vetting (NSV) applications. They provide the means to submit and monitor NSV applications electronically through Cerberus CMS.

Restricted Portal: This portal is accessed via the Restricted Land Interconnect (RLI) or Government Secure Internet (GSI). Some OGD customers will access the restricted network using other approved tools such as CJX, PNN and GSX etc. Sponsors must register for an account to access this portal, the sponsor and subjects must both have access to a restricted network to use this account. In addition, the restricted portal will allow sponsors to submit Vetting Status Information (VSI) enquires.

Un-restricted (Internet) portal: This portal can be accessed via the internet. Sponsors must register for an account to access this portal. The information saved on the internet portal is protected by secure encryption to Impact Level 3(IL3).

Sponsors: To act as a sponsor for NSV applications on Cerberus, sponsors must first register for a portal account(s) with the DVA and be allocated a unique sponsor ID.

- The unique sponsor ID will need to be entered on all electronic and hard copy applications.
- When contacting the DVA Helpdesk, the call advisor will request the sponsor ID from the caller. This will be used to verify the caller.

Sponsor Registration form: This is available from your Departmental Security Authorities. All boxes detailing personal and organisation information on the registration form must be completed in full to enable the sponsor account to be created.

Access to e-Form portals

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- If you have access to a secure network i.e. the RLI or GSI, you can apply for a restricted portal account. This means that all information submitted via this portal is done so across a restricted network. For the restricted (RLI/GSI) portal please provide your role email address.

Example: DVA-CS-example-email@MOD.UK if you do not have a role email but have another restricted email address you may use this.

- If you do not have access to a secure network, you should apply for an unrestricted internet portal account. For the unrestricted internet portal, please provide your unclassified work email address, which may be your company email address.
- If you have access to the restricted and unrestricted networks you can apply for access to both e-Form portals.
- Sponsors of staff/contractors who have access to the restricted and un-restricted networks can use either of the e-Form portals to register a subject for NSV; however an application must be started and completed on the same portal.
- For sponsors of staff/contractors who do not have access to the RLI/GSI you should use the un-restricted internet portal to register the subject.

ALL PERSONAL INFORMATION IS PROTECTED AT IMPACT LEVEL 5 (UP TO SECRET)

Department/Organisation

Department is the “top level group” that you belong to/report to. Some examples are:

- The department for Army is Ministry of Defence and the Organisation name is Army. Where we ask for full address we expect this to include what regiment/battalion/squadron etc.
- An OGD department would be the Department of Health and the organisation would be Yorkshire Ambulance Service with the address containing their full site specific address.
- MOD List X companies the department would be MOD and organisation would be the company name. When typing in full address please ensure you include site as some List X organisations have multi sites.

There are 3 types of account:

Sponsor Account.

Sponsor access through the restricted (RLI\GSI) and unrestricted (Internet) portals allows registered users to sponsor vetting applications and to view Application Status Information (ASI) on both the internet and restricted portals for all cases they have initiated only. Sponsors using the restricted portal will also have access to the Vetting Status Information (VSI) facility. Please note that VSI is only available via the restricted portal.

Super-Sponsor Account.

Super sponsor access to restricted (RLI\GSI) and unrestricted (Internet) portals allows registered users to sponsor vetting applications and to view ASI on both the internet and restricted portals for all cases that they have initiated and those submitted by other sponsors within their organisation. This includes the facility to either hasten or complete a case that has been initiated by another

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sponsor. Super Sponsors using the restricted portal will also have access to the Vetting Status Information (VSI) facility. Please note that VSI is only available via the restricted portal.

VSI Access Account.

This account will be required if you are not a sponsor of NSV but either contact the DVA Helpdesk or use the 'ASI/VSI database'. This account is accessible through the restricted portal only. Users will not have authority to sponsor vetting applications. You must therefore tick yes to restricted portal account and input your RLI/GSI email address.

Departments (OGD) decision makers and DVA staff. Access is managed by specific named licences paid for by the sponsoring organisation and allocated by the DVA.

Account Authorisation.

All account requests must be approved by your Departmental Security Authority (DSA); should an account request be denied it will be the decision of the DSA.

The DSA should ensure that the level of access requested by the sponsor is appropriate before passing it to the DVA.

If you have any further queries that are not answered by this guidance, please email them to: DVA-CS-CSMT-GM@mod.uk