

MINUTE SHEET

Reference SF.50/24/4(120)

11.3.52. Treasury Establishments Circular No.21/52: SECURITY. 1a
2.

12.3.52. Copy of new security questionnaire, and specimens of Security Service application forms. 2a.

3.

Note.

The security questionnaire at 2a was discussed at the meeting of Directors on Thursday, 13th March.

D.E/A. indicated that our application forms for staff covered a number of the questions asked on the new Government Security Questionnaire. The meeting agreed that it was undesirable for us to use the Government form and that we should prepare a supplementary one embracing the questions not included in our own. We should require all members of the staff to complete this form, as well as new applicants, but we should not approach attached personnel.

D.E/A.
14.3.52.

R.N.
R. Horrocks

AV 20/3/52

4.

7 or drafting of form as spoken

R.N.

17.3.52

5.

Draft Supplementary Security Questionnaire 5a

6.

Proof of Supplementary Security Questionnaire 6a

7.

D.G. 13/3/52

The form at 6a includes all the questions on the new Treasury Security Questionnaire which are not covered by our normal application forms. The Directors consider that this form should be completed by all existing and newly joining members of the staff. Will you please say if you approve.

D.E/A.
28.3.52.

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R.N.

[OVER

8.

March 52. Final printing of Security Questionnaire as approved by D.G.

8a

9.

28.3.52. Draft A. Circular : Security Questionnaire.

9a

10.

Note.

I discussed the form at 8a [redacted] and asked him if they were putting in a similar form. He said 'no', because they already had in use a form which covered most of the points concerned, and which was completed by every member of their staff after joining the department. They proposed therefore to take no further action.

I asked what was their attitude regarding attached staff, e.g. Service officers, and he said that they always regarded such staff as the concern of their own departments, and did not give them the questionnaires to fill in.

D.E/A.
4.4.52.

DN

11.

5.4.52. A. Division Circular No.391: Security Questionnaire.

11a

12.

5.4.52. To Heads of Overseas Stations notifying them of Security Questionnaire.

12a

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MINUTE SHEET

22.

~~Copy of form sent to Candidates' referees.~~~~22a.~~

23.

S. 1/13

I should be grateful for your advice on the steps which we here ought to take to comply with the requirements of the positive vetting procedure. You will see from the note at minute 3 that the Directors agreed that so far as the procedure involves the completion of a security questionnaire we should comply with our obligations by obtaining from our staff a form as at 9a, plus the normal personal particulars form shown at 1a. I see nothing in the

/Treasury

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Min.23, contd.

Treasury circular of the 11th March, 1952, which requires us in every case to embark on "neighbourhood enquiries" or to take up references other than, as we do, through the post. Unless therefore there is more to the new procedure than appears on this file, I do not think that we are falling short of our obligations, but I should be grateful for your comments. At 22a is a copy of the questionnaire which is sent out to referees.

B.
7.12.53.

Inman note

24.

1.3.54.

Note by C. giving recommendations re application of P.V. procedure to Security Service.

*S1 + Trans to 310-8-9
P.3 B*

24a.

25.

B.

As you know, I have hitherto postponed replying to your minute because the policy on Positive Vetting has been under review by the Personnel Security Committee, and indeed has yet to be approved. The documents at 10a in SF.53/12/5(179)Supp.A. are still not in the form in which they will be submitted to the Official Committee on Security, but I think we can now say that only minor amendments will be made to them. Those that are likely to be made, at all events at the Personnel Security Committee level, will not be relevant to the policy to be adopted by the Security Service.

I enclose at 24a a paper in which I examine the effect of the draft proposals on the Security Service. While it is true that they do not require us in every case to embark on "neighbourhood enquiries" or to take up references other than, as we do, through the post, I conclude that there are cases about which we should do more than I understand we do at present. I believe such cases would be exceptional.

If my proposals were accepted in principle, I consider it would be desirable to decide whether officers junior in rank to those specified in para. 9 A (3) of the paper at 24a should be asked to express opinions about their colleagues. There is a good deal to be said on both sides about this and the point would therefore best

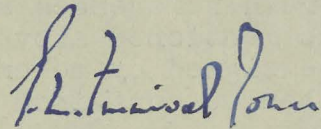
/be

MINUTE SHEET

25.(contd.)

be argued orally, and I make no recommendation.

In case you should wish to circulate the note at 24a for discussion, I have attached extra copies to the cover.



E.M. Furnival Jones.

C.
1.3.54.

26.

~~D.B.G.~~
D.G.

Please see minutes 23 and 25, and C.'s paper at 24a, upon the last of which I have the following comments:-

1. Para.2.

I think it very much open to question whether our entire staff come within the policy, but since it is easier to deal with everybody on a uniform basis than to work out - and justify - exceptions, I am prepared to accept C.'s view.

I agree that steps should be taken about attached Officers.

2. Para.3(a) and Para.4.

For existing members of the staff I think we should adopt the form prescribed in Annex 4B, although I think that we might well incorporate some of the questions in Annex 4A. Candidates are a little different, in that their referees are called upon to testify not only to their reliability but also to their intelligence and competence. I propose therefore to adapt Annex 4A for that purpose.

3. Paras.3(b) and (c) and Paras. 5 and 7.

It seems to me that the vast majority of cases will be capable of being dealt with on the basis of the written replies of the referees, together of course with what we already have on the Record of Service. If a written certificate is required, then I think it should be given by me. If on the other hand the references are not satisfactory for one reason or another, I agree that the further steps proposed by C. should be carried out. In my view such further steps, if any, should be carried out by officers of this Branch.

4. Para.9A.

I agree that what is being done should be publicly announced in a Circular. I agree also with the

Min.26, contd.

proposals in para.9A (2)(3) and (4), except that fresh references should be asked for and taken up and, as mentioned above, I think that any certificate should be signed by me on the basis of the documents which will then be contained in the Record of Service.

5. Para.9B.

I agree.

6. Para.9C (1)(2)(3)(4).

All these points are already covered, except the points about pseudonyms and previous addresses, our procedure on which I will amend.

If the foregoing meets with your approval I will, (a) draft a Circular announcing the procedure; (b) draft forms of letters to referees in the case of (i) candidates, (ii) existing members of the staff; (c) amend our application form to include (i) names of candidate's brothers and sisters (who will be looked up), (ii) the candidate's addresses for the ~~past~~ ten years, (iii) the nomination of four referees (since I have been in charge of Establishments we have in fact always asked for four referees in the case of officers, but I will extend this to women); (d) invite C. to draft the certificate referred to in para.11 of 24a.

With regard to Police enquiries, you may care to know that in the case of all candidates, men and women, we make a search in C.R.O., and in the case of women we also ask for a report from the local Police as to the general standing and reputation of the family. We occasionally do this with a male officer, but in the majority of cases we do not do so because we already have the same information from other sources.

B.
4.3.54.

Ammanville

MINUTE SHEET

27.

D.G.

I agree with the proposals for attached officers and candidates. I believe we should consider further the question of our existing staff before issuing a circular. If the Records of Service were examined, I imagine it would be found that staff taken on since the war were reasonably well documented, while those taken on during the war and, even more, the antediluvian survivals, were imperfectly vouched for by referees. They were, nevertheless, in many cases brought in on a basis of personal nomination which counted for a good deal.

Service in M.I.5 leads to a very unusual situation unlike that of the civil servant. The secrecy of one's employment influences one's private life, and I doubt if any of us who have spent a number of years in the Security Service could produce referees whose testimony would be really valuable. I am sure I could not and I should not like to ask my friends to act as referees in a matter of this importance because I do not think it would be fair to them. They do not know enough about my life and pursuits to be able to speak with authority. The proof of our reliability is that, over the years, our contribution to the security of this country must have outweighed any assistance we could give to an enemy. I suggest, therefore, that you should examine the files of Directors and B. the remainder, and that you and B. should see the officers when necessary to supplement the information available. Only if this proves inadequate should we consider other methods.

I base my case on the argument that P.V. enquiries would be ineffective in the case of our staff. I think it would also spread some alarm if it became known that the Security Service thought it necessary at this late date to ask referees for their opinion of its staff whose reliability should have been its constant concern. Here again the situation differs from that of the civil servant for he was not recruited for, nor is he constantly engaged upon, security work.

D.D.G.
8.3.54.

R.H. Hollis
R.H.Hollis.

28.

A. [unclear] 15/3
D. [unclear] 15.3
F. [unclear] 15/3

The D.G. would like you to study 24a and subsequent minutes in preparation for tomorrow's Assistant Directors' meeting when he proposes to discuss this matter.

D.G. Secretary.
15.3.54.

Smiler

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29.

22.3.54.

Draft Circular to members of staff.

29a.

30.

~~C.~~
~~D.D.G.~~
~~D.G.~~

At the last meeting of the Assistant Directors you instructed me to draft a circular on the lines suggested in para.9A(1) of the note at 24a. This is at 29a.

J.H. Marriott

B.
23.3.54.

J.H. Marriott.

31.

~~D.D.G.~~
D.G.

I have three minor comments on the draft at 29a:-

- (a) The words "which make it necessary for me" in para. 2 are not strictly accurate. I suggest the substitution of "and in consequence I have decided".
- (b) I suggest that one or other of the phrases in brackets should be omitted.
- (c) I hope it is the intention that, before a reference is in fact taken up, the officer would be given an opportunity of forewarning the referee. If so, I suggest this should be stated.

E.M. Furnival Jones

E.M. Furnival Jones.

C.
30.3.54.

32.

D.G.

With reference to minute 31, I agree with all three comments and, in regard to (b), prefer the omission of "all these".

R.H. Hollis

R.H. Hollis.

D.D.G.
31.3.54.

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MINUTE SHEET

33.

~~D.D.G.
B.~~*Rev. 2/4*

I should like two points in this letter to be considered:

(i) I think we might say in paragraph 2 that one referee should if possible be another member of the staff.

(ii) I believe that paragraph 3 may be misunderstood as stated at present. Could we not simply say that members of the staff will be informed before a reference is taken up and that I should prefer them not to inform referees outside the Service that they have been quoted as a reference.

D.G.

D. G. White

1.4.54.

5.4.54.

34.

Revised draft of paragraph 3 of 29a.

34a.

*Please proceed as at 34a
B.W. 7/4. 35.*

~~D.G.~~

first

With reference to the/point raised in your minute 33, I think that as discussed this afternoon it would be better not to press too strongly for the nomination of members of the staff as referees.

With regard to your second point, I have at your suggestion drafted at 34a an alternative paragraph 3. I do not myself really think that the original paragraph 3 would be misunderstood (as revised in accordance with D.D.G.'s suggestion) but I agree that it would be improved by the addition of a sentence at the end as follows:-

"If B.Branch wish to approach such referees, you will be informed in advance."

B.
5.4.54.*W. White*

36.

8.4.54. Revised draft of letter from the D.G. to all members of the staff.

36a.

37.

20.4.54. Copy of letter from the D.G. to all members of the staff, requesting referees, under P.V. procedure.

37a.

38.

30.4.54. Draft letter to Candidates' referees, for P.V. purposes, and copy of Government statement to the Press, of Janurry, 1952.

38a.

39.

C.D.G.
D.D.G.,
D.G. DW 10/5.

Further to paragraph 6 of my minute 26, I have placed at 38a a draft of the form of letter which I propose to write to the referees of new candidates for this Service. This letter is designed to comply with our obligations in respect of P.V. It will be written at the latest convenient moment before any offer of employment is made to a candidate, and will therefore be in addition to the normal process of taking up references whose purpose is to discover the candidate's competence. It will be addressed to a selected two out of the four referees who will already have been approached. The reason for this apparent duplication of effort is our wish to confine the disclosure that the proposed appointment is exceptionally secret to those cases where there is a reasonable prospect that an offer of employment will be made.

I am not yet drafting a form of letter to be written to referees quoted by existing members of the staff, because I think it unlikely that we shall in many cases have to approach referees outside the Service. We are in any event not yet ready to take on this task. With the issue however of the circular at 37a I shall be making a start with the review of existing staff, and I should therefore be grateful if C. will draft the certificate referred to in para.11 of 24a.

/The

Min. 39, contd.

The other matters referred to in para. 6 of minute 26 are in hand and are being put into effect.

B.
30.4.54.

Inman will

4.5.54.

Treasury letter about procedure for P.V.

covered to

39b

316-8-a - Appendix B

40.

losee we can now to check in 11/5

B.

The proposal I made for certificates was simply a way of bringing home to members of the office who were asked to vouch for their colleagues the importance of what they were doing and the kind of knowledge they ought to have before advising the Director General that the man was to be trusted. I understand your intention now is to sign any necessary certificates; if certificates are to be signed in B. Branch and nowhere else, I doubt whether any certificate is necessary.

E.M. Furnival Jones

C.
7.5.54

E.M. Furnival Jones

41.

54.

Specimen of letter despatched to two referees about candidates for employment.

41a

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~~D.D.G.~~
~~D.G.~~

Rev. 2/12

I am now making a start upon the formidable task of applying the P.V. procedure to our existing staff, and I should like your approval to the following proposed course of action.

All Records of Service are being reviewed on the lines suggested by C. in paragraph 9 of his note at 24a. As the result of the circular issued as at 37a, we already have in respect of all members of the staff the names of two current referees who can be approached if necessary. The terms of that circular, however, require that the member of the staff concerned shall be told before an approach is made to his referees.

I attach some Records of Service which have already been processed, so that you may have some idea of the sort of problem with which I shall be confronted. I propose that, subject to your views, unless I am satisfied that either I or B.2. or B.1. feel that we know enough about the person concerned for purposes of P.V., we should interview him or her and should thereafter take up at least one of the references in writing. Since in this respect I am discharging a responsibility which is laid on you personally, I feel that in any case where I consider that an interview and the taking up of references are unnecessary, because, e.g., the person concerned has been many years in the Service and is or can be supposed to be personally known to you, I ought to send you the Record of Service to see. Where however I think that an interview and the taking up of references are necessary, I propose to go ahead on my own initiative, and if I am thereafter satisfied, so to note on the file and put it away. Although in this respect I shall appear to be usurping your functions, I shall have more material to go upon than will be available in the other type of case.

I think it probable that a very large number of interviews will prove to be necessary. These will be of incidental routine benefit to B.Branch as bringing us into closer contact with the staff, but if they are to be effective for the purposes of P.V. I and my colleagues will appear to be, and indeed will be, conducting something of an inquisition into people's private circumstances, and before I embark upon this course I should like to be quite clear that this has your approval. This is of course substantially what we do with a new candidate, and it is inherent in the whole operation of P.V., but there are sure to be some people who will resent it, however tactful we are, and there may even be cases where we shall obtain information which is embarrassing. There are therefore potentialities for trouble which you will no doubt wish carefully to consider.

B.
29.11.54.

4.12.54.

Extract from Minutes of Staff Board, recording approval of D.G. to proposed P.V. procedure.

44b.

45.

B.

We discussed your proposals in minute 44 at the Staff Board meeting on 3.12.54. I agreed to your proceeding on these lines.

However, I feel I must emphasise - and I would like you to pass this on to your staff who will be engaged upon this work - the need to proceed with the utmost tact in carrying out these measures.

D.G.

D. G. White

8.12.54.

46.

B.1.
B.2.*1/11/54 10/1/54
CW 13/12**copied to POLF 316-8-2*

Please see minutes 44 and 45, upon which we can now go ahead with the next stage of P.V. The procedure will be as follows:-

- 1) [redacted] as and when she has completed her review of each R. of S., will pass it to me with a note showing in what respect the record is deficient.
- 2) I will then decide whether further action is necessary, ie., whether to interview the individual concerned and take up references. If I decide that no further action is necessary, because the individual concerned appears to be sufficiently well documented and well known, I will pass the R. of S. to the D.G. to see.
- 3) If I decide that further action is necessary, I will pass the file to one or other of you with a request that the individual be interviewed. I will in each case consult with you whether the interview is to be conducted by you or by me.
- 4) Interviews will be conducted only by one or other of you or by me.
- 5) Before a candidate is interviewed, his or her referees should be looked up, as in nearly all cases an interview will be followed by taking up written references.
- 6) I particularly draw your attention to the D.G.'s direction that these interviews are to be carried out with the utmost tact. Accordingly, I suggest

/that

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Min.46, contd.

that they should take the following general form:-

(a) Remind the candidate of the circular at 37a, and particularly the last sentence of paragraph 1.

(b) Tell the candidate that, acting on behalf of the D.G., it is our duty to get to know as much about him or her as we would try to do if we were interviewing them today for the first time as candidates for employment here, and that accordingly we propose to take them through their career just as we do a new candidate. Tell the candidate, further, (if appropriate) that, all question of P.V. apart, we regard the interview as providing a valuable opportunity to improve our mutual acquaintance.

(c) In accordance with (b) take them through their career and if there is no S.Form 147 already on the file, ask them to be good enough to complete one and return it to us at their convenience, omitting of course Section 32.

(d) Towards the end of the interview, invite the candidate to give us any information which, if our roles were reversed, he or she would themselves think it proper to be available for the D.G.

- 7) After the interview take up at least one reference in the form of the draft at 47a.
- 8) When all the foregoing has been completed, return the file to me with your recommendations for further action, if any.

Each case will of course have to be dealt with on its merits, but speaking generally I think that we shall find it unnecessary to interview candidates with whose original recruitment we were ourselves concerned.

B.
9.12.54.

Hummer

48

crossed to 316-8-8

26.5.55

Note re p.v'ing of local recruits overseas.

48a

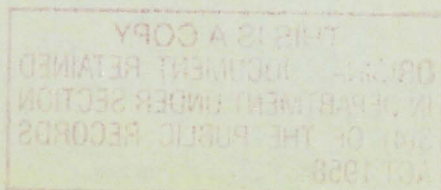
49.

crossed to 316-8-9

9.5.56.

B.1. note about PV & G.P.O. staff working with us.

49a



50.

(c) Copied Trans to 316-8.3

6.7.56.

From Sir Norman Brook re periodic reports on progress of positive vetting.

50a.

51.

Am 2/8
B.2. On return.

Am
B.1.

1977

Please see the letter at 50a, which I have discussed with the D.G. The latter, having heard from me of the progress we have made with positive vetting, is prepared to tell Sir Norman Brook that there is no back-log. He is also satisfied that the steps we are taking in recruiting candidates ensure that so far as is reasonably practicable our security is good. He nevertheless expressed some concern that we might not be doing enough in the way of field enquiries, and in particular of supplementing written references by direct interview of the referees. He did not think that such interviews, or extended field enquiries, would to any noticeable extent improve our security position, more particularly having regard to the very relevant fact that the vast majority of our candidates come to us as the result of an introduction from persons or organisations in whom we have confidence and who know our requirements, but he is conscious that as a Service we are goading other departments along this troublesome road, and he would feel embarrassed if the direct question were put to him, as it might well be, to have to admit that we ourselves very seldom make field enquiries. Accordingly, he has told me to arrange, in addition of course to such direct enquiries as we naturally make when we think it necessary, for a proportion of referees to be interviewed on a sampling basis. Unless therefore you see any serious objection to doing this, will you please proceed accordingly.

The D.G. has additionally directed me to consult with Captain Liddell and Mr. Morton Evans (which I am doing tomorrow) in order to hear from them what their experience has been as the result of the extensive field enquiries undertaken by the A.E.A. My own view is that the personal introduction basis, referred to above and upon which we work, may make the A.E.A.'s experience largely irrelevant, but we are I think bound to admit that the headmistresses of large day schools are in many cases unlikely to know very much about the parents of their pupils. We shall also certainly hear from Captain Liddell that his experience has been that in a surprisingly large number of cases referees withhold very relevant information when they are giving a written reference.

Am
18.7.56.

Am

B.1.

B.2. *MM/S*

We had our meeting yesterday with Captain Liddell and Mr. Morton Evans, at which it clearly emerged that their view was the same as ours, namely that the usefulness of field enquiries depends to a very large extent upon the type of person about whom the enquiry is made, and that the field from which the majority of our recruits are obtained, and the fact that for the most part they come to us with an introduction, very considerably limits the likelihood of field enquiries producing a useful result. In addition, my own view was that it is a most material consideration that in this Service the process of recruitment and that of P.V. is throughout conducted by the same people as part of the same process.

Nevertheless there are respects in which we can be guided by A.E.A.'s experience and in which we can improve our procedure, namely :-

1. We ought to make the signing of the Security Questionnaire a more formal process, and in particular we ought to take the candidate through it in detail, at the same time pointing out to him or her the absolute necessity of searching their memories and answering it strictly accurately. In the case of officer candidates, this will mean getting the Questionnaire dealt with at an earlier stage than we do at present, e.g., not later than at the second interview;

2. We ought to make direct approaches to referees in the following types of case :-

(a) where the applicant comes to us out of the blue and without prior sponsorship;

(b) where the candidate is introduced by the Ministry of Labour;

(c) where the candidate is sponsored by anybody whom we have any reason to suppose to be not particularly well, or at all, informed about the candidate's family background (this is particularly applicable to girls);

(d) in any other case where it appears that the referee's knowledge of the candidate, or his/her family, might be from the circumstances more superficial than the wording of the written reference suggests.

Would you let me have your comments on the foregoing, after which I will report progress to the D.G.

B.
20.7.56.

P. M. M. M.

53.

B.

I agree that more formal treatment of the Security Questionnaire would be an improvement.

As regards direct approaches to referees, what it comes to, I think, is that there should be rather more bias towards doing this than hitherto. I doubt whether there ought to be a hard and fast rule that the referees must be seen where the candidate is unsponsored or comes from the Ministry of Labour; every case should be treated on its merits.

C. S. Held Smith

B.1.
23.7.56.

54.

B.

Your minute 52 has been discussed with Miss Weir and with [redacted] both of whom have read the papers.

In B.2. we have always made quite a little ceremony of the signing of the Security Questionnaire, explaining its origin to the candidates (and I hope making clear the meaning of the questions. The S.Q. is signed when a candidate comes for interview, and if the first interview takes place six months or more before the girl is ready to join the department, we ask her to visit us for a second time at a later date in order to do the signing.

I agree with B.1's views on direct approach to referees. I think we ought to do this when we are singularly lacking in knowledge of a candidate's background, but we shall have to limit direct reference to what is practically possible as wide application of the principle will add to the man hours expended in B.2. on recruitment. We shall have to see too that the time lag which exists between application and the offer of a vacancy, already a deterrent to some candidates, is not extended.

B.2.
7.8.56.

C. S. Held Smith

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B.

There is a special procedure for handling ATOMIC documents and there are special security of personnel rules for staff with access to them which stem from agreements with the U.S.A. - see SF.53-22-5(9) Supp.A.

So far as personnel are concerned, the ordinary P.V. procedures apply but "as a pre-requisite to clearance for access to ATOMIC there should as a minimum be interviews with the subject and with two reliable persons well acquainted with him whose knowledge of him covers (between them) at least the five years preceding the interview", - see SF.53-22-5(203). 17a.

The current list of Security Service staff authorised to handle ATOMIC documents is at 56a. I think we must have the usual P.V. interview with these individuals if this has not already taken place and the referees must also be seen personally, when they are members of the Service by B. Branch and otherwise by B.4.

C. Lindley

B.1.
13.8.56.

13.8.56.

56. *Trans to 310-8-2*
~~Current list of staff authorised to handle ATOMIC.~~

56a

13.8.56.

57. *Trans to 316-8-2*
~~Copy of B.1. minute to G. about ATOMIC procedure.~~

57a

58.

*Copied to POLF
316-8-2*

B.

With regard to minute 55 and the list at 56a, the four women mentioned have all now been P.V'd. I attach their files and there is a current minute for you to see on [redacted]

C.S. Halden

B.2.
12.10.56.

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61.

26.2.57.

From Cabinet Office re P.V.

61b.

62.

D.G.

1. The position with regard to the P.V. of Security Service staff is as follows :-

- (a) All staff, male and female, with access to Atomic have been or are being P.V.'d, and the process includes field enquiries. Total:- 19.
- (b) All staff; male and female, engaged since June, 1954, have been P.V.'d to our satisfaction in accordance with the procedure agreed in the light of the Treasury instructions at 39b. Total :- 495.
- (c) Staff already in post in June, 1954 :-
 - (i) Officers. With the exception of 9 cases where special attention was thought necessary, and where therefore the individuals were interviewed and references obtained, all the Officer staff were considered to merit clearance. Nevertheless, as and when opportunity offered, other officers have been interviewed under the guise of P.V., but speaking generally no further references were taken up.
 - (ii) Other staff, including women. Interviews and the taking up of references in writing have taken place as could conveniently be fitted in, priority being given to those cases where any gaps in our knowledge were apparent. 69 cases have been dealt with. 28 more are in hand.

2. Field enquiries have hitherto been obligatory only for the Atomic category. It is very clearly stated at 39b that if the head of the department is satisfied after examining replies from the referees, he need proceed no further. In our case, while a P.V. candidate is always interviewed and Police enquiries are made wherever appropriate,

/With

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JUNE 2022

Min.62, contd.

(with women recruits this means invariably) for the most part we have been able to satisfy ourselves without interviewing referees or neighbours. This is not surprising in the case either of staff who were in post in June, 1954, or the recruits brought in since then. So far as the first category is concerned, P.V. standards have in effect applied here for years past, in the sense that only people who were positively adjudged to be good security risks were invited to join, and that anyone about whom uneasiness was subsequently felt was promptly disposed of. Moreover, all the members of a small Service such as this has been have been personally well known to one another. With regard to the second category, the arrangements under which candidates for employment are presented to us are so contrived as to make a very full picture of an individual's personality and background emerge in the ordinary course of the recruiting process.

3. I have to admit that in dealing with this problem I have allowed myself to be influenced by the considerations set out in paragraph 2 above, and in this I am supported by the views which you yourself expressed in minute 27, and I have perhaps therefore steered an uneasy course between my conviction that the whole process of entry into and working in this Service is such that its Head can at all times say that he knows enough about its members to feel justified in regarding them as wholly reliable (indeed he must otherwise be admitting to a dereliction of duty), and an attempt to comply with the official P.V. procedure without having anything like sufficient resources with which to do it. At all material times B.2. in particular have been so stretched by the task of maintaining recruitment of new staff at an adequate level that the process of carrying out a work of supererogation has inevitably had a very low priority. Before however concluding that we have fallen into error, I think, after a discussion with C., that you will wish to consider whether we have not in fact set ourselves a totally unnecessary task, and whether we ought not to re-examine the basis for the decision that the whole of our staff comes within the P.V. procedure at all. In this connection, paragraphs 4, 5, and 6 of Bridges' letter at 39b are relevant. It seems to me that it can be argued, and as a matter of practice probably ought to be argued, that in terms of the definition therein contained a very large proportion indeed of the Service ought to be excluded, including perhaps virtually the whole of A., B., and F. Branches and most of the Registry. If some such limitation could be agreed, then we could comply with the letter of P.V. procedure.

B.
27.2.57.

Purman

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64.

can
~~D.D.G.~~ 4.3
~~D.G.~~ *know*
4/3

Please see at 63a the minutes of the meeting you convened about P.V., which I hope you will agree to be a correct record of your decisions. The action called for in paragraphs 6. and 7. is in hand.

know

B.
1. 3. 57.

65.

B. 1. 3. 57
lose *IL* *1/3*

With reference to minute 64, I agree that 63a is a correct record. I shall, however, want to see the figures which you are getting out, as stated in paragraph 6, before finally deciding what further action is necessary.

know

D.G.

4.3.57.

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ACT 1958 *JUNE 2022*

67.

7.3.57.

Treasury Establishment Circular about P.V.

67a.

68.

7.3.57.

Copy of B.2. letter to H/SIFE in reply to letter re. application of P.V. to locally employed staff. *copied to 316-8-868a.*

69.

12.3.57.

From B.3. re. classification of Printing staff for P.V.

69a.

copied to 316-8-10

14.3.57. From A.2. re. classification of A.2. posts for P.V. purposes.

70a.

71.

*copied to
316-8-10*

B. through B.2.

1. At the meeting on February 28th D.G. asked B. to recommend what posts should be considered to be outside the P.V. field. At the same time he ruled that all staff with access to files must be subject to P.V. (see 63a para. 5).

I now recommend the exclusion of the following posts occupied by men.

Officers Class B. (A.4) Grades II, III and IV	51
Stationery Storemen	3
Porters	6
Doorkeepers	2
Garage staff	
Officer Class B. Grade II	1
Officer Class B. Grade III	2
" " Grade IV	11
	<hr/>
Total :	76
	<hr/>

I have considered the position of the Printing Section and asked A.2.'s advice with regard to A.2/Lab., A.2.B/G.P.O. and the Officers Class B. in A.2.C. It appears from B.3.'s note at 69a that a case could be made for excluding the Printing Section but I agree with B.3. that it is more convenient to include the five men concerned. It is relevant that in 1953 we based our case to the Treasury for a new printing machine on the argument that some of our printing work was too delicate to farm out to the War Office or H.M.S.O.

A.2.'s advice with which I agree is that A.2/Lab., A.2.B/G.P.O. and the Officers Class B. in A.2.C. are within the P.V. field. (70a).

2. With reference to para. 4 of 63a there is a list of male staff who joined the Service before 1946 at 66a. Most of these have already been P.V.d but you will want to discuss with the D.G. which of the remainder can be described as senior members of the Service personally known to him or his Establishment Officers.

3. Perhaps B.2. will recommend what posts held by women can be excluded from P.V. and file a list of women who joined before 1946.

B.1.
18.3.57.

Colin King

72. Copied to 316-8-10

B.

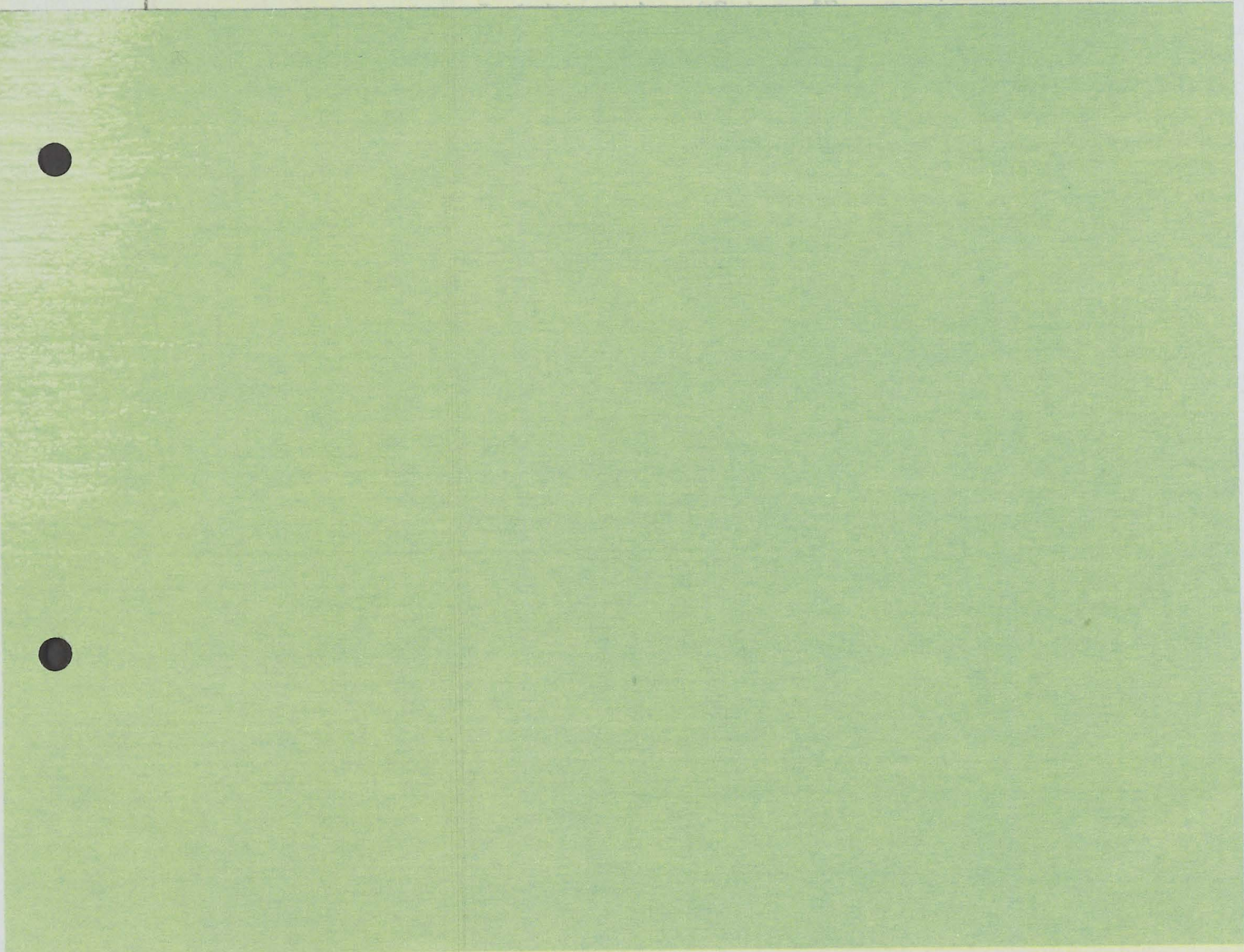
With regard to paragraph 3 of minute 71, I recommend the exclusion of the following classes of women from the P.V. category:-

Women Watchers, A.4.	6
First Aid.	1
Linenkeeper.	1



B.2.
19.3.57.

C.S. Widdowson



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ACT 1958 JUNE 2022

D.G.

Please refer to paragraph 7 of 63a. At 63b and 66a are lists containing the names of the women and men respectively who joined the Service before the end of the war. You wish, with the assistance of B.2. and myself, to consider how many of these can be described as senior members personally known to you, and therefore proper to be cleared without field enquiries. So far as the men are concerned, I am sure you will have no difficulty.

With regard to para.5 of the note at 63a, please see minutes 71 and 72, with which I agree.

Immarok

B.
2.4.57.

B. *to see minute 77 as soon as possible*
8/4

We discussed your minute 76 and I said I should like our return to show that all P.V. posts had been cleared after Stage 4, less only a backlog of staff abroad whose cases cannot be completed until their return.

I agree with the statement in paragraph 3 of 63a with the proviso that references should be taken up if there is no evidence in the R. of S. that this has already been done. If references were taken up at a time prior to the introduction of P.V., I do not consider that it is necessary to take up further references. This proviso in regard to references applies also to staff taken on before or during the war.

Stage 4 in the cases of staff whose names appear at 63b and 66a should be met in the first instance by an interview at which each such member of the staff should be asked, with reference to the P.V. form he/she has completed, whether there is anything else of which I should be aware so that I may properly assess his/her security status. You need not do more than this unless in an individual cases you consider it necessary.

It is my own view that, both before and after the war, the head of the Security Service and his Establishment Officer gave a degree of attention to the security status of candidates for employment in the Security Service which was at least equivalent to P.V. I cannot be sure that this is so in the case of staff taken on during the war. In the light of these views it may appear unnecessary to take the steps I have outlined in paragraphs 2 and 3, but I do not want to give any appearance that the Security Service is not prepared to submit itself to the full procedure.

D.G./5.4.57.

Immarok

81.

*Copied to POLF
316-8-3*D.G.

Subject as mentioned below, your directions about the P.V. of our own staff have now been complied with, that is to say staff who joined prior to 1946 have been interviewed by B.2., B.1., or myself. In addition, the records have been inspected of women who joined between 1946 and 1950, when Miss Weldsmith became Lady Superintendent, and of men who joined between 1946 and 1953, when the present B.Branch was formed, and where it appeared that no references had been taken up at the time of joining, we have obtained up to date references in the proper P.V. form. As a result we can now make the return asked for in the letter at 61b in the form of the draft at 80a.

The figure for the total number of P.V. posts is arrived at by taking the total number of staff as at May 20, and deducting from it those posts referred to in Minutes 71 and 72, which today total 87.

The backlog, amounting to 37 cases, is made up of 20 locally recruited and employed women clerical staff overseas, and the 17 home based staff whose names are shown at 79a. The locally employed staff are about to be P.V.'d locally, and the process is likely to be completed within two months. In point of fact it may transpire that when Head Office and local records are collated, some local staff may already prove to have completed the whole P.V. process. As to the backlog of home based staff, these will be dealt with as and when they become available in the U.K. You will see that they are all people about whom you know a very great deal.

Pannarok

B.
21.5.57.

82.

28.5.57.

To Sir Norman Brook with P.V. return.

Trans to 316-8-3

82a

24/5
B. B. 1
to see

83.

With reference to minute 81, I have written to Sir Norman Brook at 82a.

I am very grateful to you and your staff for the work you have done in completing our P.V. so expeditiously.

Rose Stollie

D.G.

28.5.57.

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1958
MAY
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90.

*Copied to POLF
316-8-3*

D.G.

We are due on the 1st December to make another half yearly report on the progress of Positive Vetting in this department, the last half yearly report having been made as at 82a. Figures in the prescribed form, as at 1st December, are at 89a. The backlog has been reduced from 37 to 10, all the latter of whom are home based staff still serving overseas. Their names are shown on the paper pinned to the cover of this file, and you will see that they are all old hands and well known to you personally.

Annarott

B.
28.11.57.

93.

5.2.58.

Copy of First Supp. to Circular 9/57.

Copied to 316-8-2

93a

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ACT 1958 JUNE 2022

97.

10.7.58. Draft letter, for D.G.'s signature, to Sir Norman Brook, attaching P.V. return.

97a.

Replaced by 99a.

copied to POF 316-8-3

98.

D.G. Ross 11/7

Further to my minute 90, please see at 97a a draft letter to Sir Norman Brook, dealing with the progress of Positive Vetting.

You may like to know that the backlog consists of Kirby Green, Gee, Burbidge, Leggett and McCaul, in addition to whom there are Aubrey and Miss Ratcliffe now on overseas leave. The two latter will be P.V.'d in the Autumn.

Norman Brook

B.
10.7.58.

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for SF. 299/1 on 6/2.

copied to Polp 316-8-2
93a



TREASURY CHAMBERS.

GREAT GEORGE STREET,

LONDON, S.W.1

4th February, 1958

5 FEB 1958

First Supplement to Establishments Circular

No. 9/57

SF. 50/24/4(120)
SF. 299/1

Sir,

SECURITY

1. I am directed by the Lords Commissioners of Her Majesty's Treasury to refer to the "Statement of Procedure to be followed when the Reliability of a Civil Servant is thought to be in doubt on Security Grounds" (Appendix I to Establishments Circular No. 9/57).
2. I am to request you to note that it has been agreed with the Staff Side of the Civil Service National Whitley Council that correspondence relating to cases falling to be dealt with under this procedure will be signed at least in the major Departments by an officer of the rank of Under Secretary. In Departments where there is no Under Secretary supervising establishments such correspondence should be signed by an officer of the nearest equivalent rank.

I am,

Your obedient servant,

J. J. S. SHAW

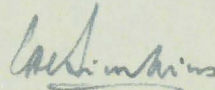
in B.M. for p.a. in SF.50-24-4(120).

70
aA.2.

D.G. has instructed us to consider what posts in the Security Service do not give "regular and constant access to top secret defence information" and are therefore outside the P.V. field. He has ruled that staff who have or are liable to have regular access to our files are within it.

I shall be grateful for your advice with regard to the following posts :

A.2. Lab.
A.2.B/G.P.O.
A.2.C. Officers Class B.



B.1.
8.3.57.

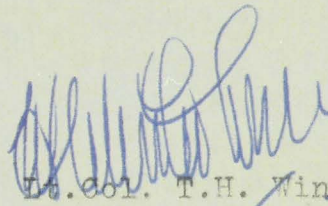
C. A. G. Simkins.

B.1.

Reference your minute above.

I have looked into these posts and I am afraid I feel that all will have to be P.V.

As far as A.2/Lab. are concerned, all the staff become aware of details of operations and see the results of them, and to a lesser extent, they become aware of ours. In A.2.B/G.P.O., the officers have to photograph the results of agent operations in addition to H.O.Ws, and although they do not have much time to read any of the material which they photograph, occasions do occur, particularly on late duty and over week-ends, when staff would have ample opportunity to read material. As far as A.2.C. are concerned, the Class B Officers are in much the same position as the G.P.O. engineers. When operations take place they get to know a very great deal. With the exception of they do not see files.



Lt. Col. T.H. Winterborn.

A.2.
14.3.57.

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Copied to 316-8-10

69
aB.1.B.3/Mr. Wilson.

On 11th March, 1957 I had a talk with [redacted] regarding the printing done in B.3. He confirmed that when ever something new came to him for printing he always obtained approval from me or Col. Franklin in the event of the requirements not having already been passed to us. [redacted] said that during the past two to three years he had had more or less nothing to print either new or old which had been graded as Top Secret.

[redacted] however agreed that a considerable amount of Top Secret material was handled by B.3/Phots. for duplicating and that the Gestetner used in the Printing Room was often used to deal with these requirements. He said in the past both he and [redacted] had done this duplicating work but since B.3/Phots. had had two girls for duplicating they had not found it necessary to give assistance.

From the above it can be seen that the staff in the printing part of B.3. do not at present really enter the agreed category for Positive Vetting, but on the other hand it will be appreciated that in the event of an emergency they would be likely to handle a considerable amount of Top Secret work.

I think that serials 148a, 149a and 150a in SF.50-9-4 vol.3 attached will be of interest to you.

[redacted] in the past was not only in charge of actual printing requirements but was also responsible for the duplicating work. When, however, Mr. Horrocks retired and [redacted] departed, the duplicating work has been controlled entirely by B.3/Phots.,

I suggest in future that whilst [redacted] remains in charge of duplicating work so far as her women staff and welfare is concerned that [redacted] be made responsible for the mechanical requirements and the stocks of graded duplicating paper within B.3/Phots. Both [redacted] and [redacted] are quite happy about this. Will you please let me have your decision.


W.S. Mars.

B.3.
12.3.57.

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Personal & Confidential

SF.50-37-21(1)/B.2.

7th March, 1957.

To: H/S.I.F.E.
For the attention of Mr. Henley.

Please refer to your letter of February 19th, 1957. The application of IV procedure to locally employed staff is currently under discussion here. I have no doubt that we ought to apply the procedure and we shall be writing to you again before long explaining the general form.

In the meanwhile you may like to know that we have IV'd Mrs. Kathleen Joan PEARSON.

aw

Miss C.S. Weldsmith
Lady Superintendent.

CSW/PP

SECRET

Copy in SF.50-37-21(1)

68
a

Security Intelligence Far East

c/o The Commissioner General SEA.,

Our Ref: P.4./B.1.

Phoenix Park,

SINGAPORE.

19th February, 1957.

To: Head Office (3). ✓
Copy: SLO Hong Kong
SLO Federation of Malaya
SLO Singapore.

ENCL. *Signer*
25 FEB 1957
TO
REF. SF 50/37/21(1)
SF50-24-4(120).
Held B2

1. It does not appear to have been the practice to apply PV to our locally engaged staff. We can see no good reason why they should be exempt; all our secretarial and Registry staff have regular and constant access to TOP SECRET information, and it is impossible to arrange things otherwise: it is not possible to restrict more than a small proportion of particularly delicate files, and a great number of CX, BDCC, JIC etc. papers, in addition to our own, have to pass through the normal Registry machinery and through the hands of all secretarial staff.
2. Particularly since we are advocating the application of PV to persons with similar access employed by Service HQs, Colonial Governments etc., it seems that we should practice what we preach.
3. As most of our local employees are only in Singapore for a few years and have UK backgrounds, there would not appear to be any great difficulty in applying PV to them.
4. The main snag appears to us to be the administrative one that good people are in considerable demand and, if the application of PV were to cause much delay in our offers of employment, we should lose them to other employers while we were waiting. Some way round this seemingly awkward problem would have to be found.
5. If you are of the opinion that PV should be applied, would you please:-
 - (a) Let us have the necessary forms and instructions as to procedure;
 - (b) Say whether you think it should be applied to existing local employees: one of these will probably leave in March 1957 and another in June 1957.
 - (c) Consider whether similar instructions should be issued to SLOs in respect of their locally employed staff.
6. We have mentioned this point in connection with our request for authority to recruit, as soon as possible, Mrs. K.J. Pearson (our SLO/1038 of 18.2.57. and R of S 351/B.1. of 7. refer) and have said in that letter that we were writing separately on the PV issue.

RAH/MW

R.A. Henley
R.A. Henley.
For H/S.I.F.E.

SECRET

67
a



TREASURY CHAMBERS,

GREAT GEORGE STREET,

LONDON, S.W.1

1st March, 1957

E.G. 160/01

E.C. No. 9/57

Copy sent to C.

19/7/57.

7/3.

for S.F. 299/1

Establishments Circular No. 9/57

Sir,

SECURITY

1. I am directed by the Lords Commissioners of Her Majesty's Treasury to refer to the announcement made in Parliament on 29th January, 1957, about the revised procedure which is to be followed when the reliability of a civil servant, who is, or is to be, employed in connection with work the nature of which is vital to the security of the State, is thought to be in doubt on security grounds; and also about the revised terms of reference now given to the Three Advisers who hear appeals from such civil servants.
2. The new statement of procedure and the revised terms of reference are appended to this Circular.
3. The new statement of procedure (Appendix I) supersedes that annexed to Establishments Circular No. 21/52, and the revised terms of reference (Appendix II) supersede those announced in Parliament on 7th June, 1948.
4. I am to request you to ensure that no one is employed in your Department in connection with work the nature of which is vital to the security of the State who is thought to come within the categories specified in paragraph 1 of the revised terms of reference, and that any such person is dealt with in accordance with the new statement of procedure. It should be noted, with reference to paragraph 13 of the White Paper (Cmd. 9715) on the Findings of the Security Conference of Privy Councillors, that no-one in these categories should hold the appointment of Under Secretary or above in the Administrative Class.

I am,

Your obedient servant,

A. J. D. WINNIFRITH

STATEMENT OF PROCEDURE TO BE FOLLOWED
WHEN THE RELIABILITY OF A CIVIL SERVANT IS
THOUGHT TO BE IN DOUBT ON SECURITY GROUNDS

1. The Minister[/] will have before him information on which to decide whether the reliability of the civil servant is prima facie to be regarded as in doubt on security grounds. A civil servant will be so regarded if -
 - (a) he is, or is to be, employed in connection with work the nature of which is vital to the security of the State; and simultaneously;
 - (b) he is or has recently been a member of the British Communist* Party, or in such a way as to raise reasonable doubts about his reliability, is or has recently been sympathetic to Communism, associated with Communists or Communist sympathisers, or is susceptible to Communist pressure.
- No statement of general application can be made as to what constitutes sympathy or association under (b) above. Each case will be assessed in the light of the particular facts.
2. If the Minister rules that there is a prima facie case, the civil servant is at once to be so informed and will normally be sent on special leave with pay, care being taken as far as possible not to disclose the reasons for his absence to his colleagues.
3. The civil servant will at the same time be given any particulars, such as the date of his alleged membership, or the nature of the alleged sympathies or associations, that might enable him to clear himself. There will however have to be limits to the information given for he cannot be given such particulars as might involve the disclosure of the sources of the evidence.
4. At the same time the civil servant will be asked to say whether he accepts or denies the allegation. If he accepts the allegation he will be dealt with as described in paragraphs 9 and 10 below. If he does not admit the allegation he shall have fourteen days in which to make written representations to the Minister if he so wishes.
5. The Minister will reconsider his prima facie ruling in the light of any representations the civil servant may make. If the Minister decides that there is no reason for varying it, the civil servant shall be so informed and

[/]That is, the Minister responsible for the Department to which the civil servant belongs.

*In this Statement of Procedure, for convenience and brevity the term "Communist" is used to cover Communist and Fascist alike.

shall then have seven days in which to decide whether to ask for a reference to the Three Advisers. If he does not ask for such a reference he will be dealt with as in paragraph 8 below. If he does ask for a reference to the Three Advisers the latter will be asked to consider the case as soon as possible.

6. The function of the Three Advisers is set out in their Terms of Reference.

Where there is no suggestion of Communist or Fascist associations or sympathies, cases of character defects will not be referred to the Tribunal, and appeals will be dealt with under the normal disciplinary procedure of Departments.

7. In discharging their functions the Advisers will take into account the representations made by the civil servant. They will hear him in person, if he so wishes. He may also ask third parties to testify to them as to his record, reliability and character but he may not be accompanied and/or represented by a third party before them. In the special circumstances of these cases the proceedings must be governed by the requirement that neither sources of evidence nor evidence which might involve the disclosure of sources can be given to the person concerned. The Advisers will therefore count it as an important part of their functions to see that anyone appearing before them can make his points effectively and will adapt their procedure in such a way as to give him the best possible opportunity of bringing out the points which he wishes to bring to their notice.

8. On receiving the report of the Three Advisers, the Minister will reconsider his prima facie ruling and if he decides to uphold it, he will give the civil servant an opportunity of making representations to himself or his representative before action is finally taken. Similar opportunity will be given when the civil servant does not wish his case to go to the Advisers.

9. If the prima facie ruling is finally upheld, a civil servant will be posted to or retained in a non-secret branch within his own Department, or, if this is not practicable, will be posted to a non-secret branch in another Department. If he belongs to a category which it is impossible to employ in any other than a secret branch, or if his qualifications or experience are such that no alternative employment elsewhere in the Government service can be found, he will have to be dismissed unless he accepts the option, which should always be afforded in such cases, of resigning.

10. Before a decision to re-post, or in the last resort, to dismiss (with resignation as the alternative), is made effective, the civil servant's staff association should be afforded an opportunity of suggesting any alternative re-posting that it may think more suitable, or of suggesting a possible re-posting as an alternative to dismissal or resignation.

11. If a civil servant resigns or is dismissed the existing Superannuation Acts provide automatically for certain consequences in his superannuation benefits. These consequences are set out in the attached Annex.

Application of the Superannuation Acts

Established Civil Servants

1. Dismissal or resignation of officers under age fifty entails the loss of benefits under the Superannuation Acts.
2. Officers aged fifty and upwards may resign voluntarily and receive at sixty the pension which had accrued to them at the time of their resignation.
3. Officers of any age who take up employment in another public service to which the Transfer Rules and Public Office Rules apply, would be eligible for the arrangements which may be made under those Rules. It should be noted that, if they are to be applied, the prior consent of the head of the Department is required to the change of employment.

Unestablished Civil Servants

4. Officers who have completed seven years' service and who resign or are dismissed will receive the benefits to which they are entitled under the Superannuation Acts.

TERMS OF REFERENCE OF THE THREE ADVISERS

1. It is the policy of Her Majesty's Government that no one who is or has recently been a member of the British Communist Party or of a Fascist organisation or who, in such a way as to raise legitimate doubts about his reliability, is or has recently been sympathetic to Communism or Fascism or associated with Communists* or Communist sympathisers or is susceptible to Communist pressure, should be employed in connection with work the nature of which is vital to the security of the State.
2. You have been appointed to advise Ministers in any cases referred to you whether in your opinion their prima facie ruling that an individual comes under paragraph 1 has or has not been substantiated. In doing so you should answer the following questions:-
 - (i) Are there or are there not reasonable grounds for supposing that the individual has or has recently had Communist sympathies or associations of the type described in paragraph 1 above?
 - (ii) If you are in doubt about the answer to (i) above, how do you assess the evidence whether presented to you or elicited at the hearing before you?
3. In answering these questions your aim should be to give the Minister the utmost help in deciding himself what course to take.
4. If you agree with the prima facie ruling you should specify your grounds. If you do not agree with the prima facie ruling or do not reach a firm opinion in any instance you should assess the evidence for the Minister reporting the weight which you have attached to particular factors.
5. You should in all cases take precautions to safeguard any very secret sources from which any of the information bearing on the conclusions has been obtained.

*In these Terms of Reference for convenience and brevity the term "Communist" is hereafter used to cover Communist and Fascist alike.

6. In the appreciation of a case defects of an individual's character should be taken into account when they bear upon his reliability in the general context of Communist associations or sympathies. (Where no question of such associations or sympathies arises, cases of character defects will not be referred to you, but appeals will be dealt with under the normal disciplinary procedure of Departments.)

7. A decision on what employment is to be regarded as involving "connection with work the nature of which is vital to the security of the State" is not one for you but for Ministers in charge of Departments. Your functions do not extend beyond advising Ministers as set out above.

NOTE.

D.G. held a meeting on February 28th to discuss the reply which the Security Service would make to Sir Norman Brook's letter at 61b. D.D.G., C., B., B.1. and B.2. were present.

2. D.G. took note that the procedure prescribed for staff with access to Atomic was being strictly observed and that all cases would have been dealt with before the return asked for in Sir Norman Brook's letter was due.

3. D.G. wondered whether in respect of other posts in the P.V. field the Security Service was doing all that it should and was living up to the doctrine it preached to other Departments about field enquiries. After discussion he was satisfied: (a) that the recruiting procedure applied to staff who had joined the Service since June 1954, which included interviews with the candidates specially directed inter alia to establishing his/her security status, completion of the Security Questionnaire^x and Police enquiries about all women staff and in other appropriate cases, amounted to P.V. up to and including Stage 4., (b) that the examination of the security status of staff recruited between the end of the war and June 1954, and the subsequent completion of the Security Questionnaire by these staff, also amounted to P.V. up to and including Stage 4.

4. With regard to staff who had joined the Service before the end of the war, the D.G. recognised that many were properly described as senior members personally known to him or to his establishment officers and could therefore be cleared at Stage 2. He hoped it would be possible to complete the P.V. of the remainder up to and including Stage 4. before the Service had to render the return referred to at 61b.

5. The correctness of the 1954 decision that the whole Security Service was within the P.V. field was reviewed. D.G. ruled that all staff with access to files must be subject to P.V. but thought that it would be right to exclude A.4. and perhaps some other subordinate male staff as well. He asked B. to recommend formally what posts should be considered to be outside the P.V. field.

6. D.G. asked B. to prepare a specimen return in the form of the Appendix to 61b, showing the position today on the basis of the decisions recorded in paragraphs 2 - 5. The Security Service P.V. back-log could be

/ascertained by

^x special enquiries to two of the referees in the form at 41a. ^x

These words were unintentionally omitted.

11.3.57. *act.*

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- 2 -

ascertained by deducting from the total staff :-

- (a) those posts which were ruled to be outside the P.V. field,
- (b) post June 1954 intake,
- (c) the intake between the end of the war and June 1954,
- (d) senior members of the pre 1946 intake personally known to the D.G. or his establishment officers,
- (e) members of the pre 1946 intake P.V.'d by B. Branch.

7. The D.G. will examine with B. the list of staff who joined before the end of the war and decide which of them can be cleared at Stage 2.

C. A. G. Simkins

B.1.
1. 3. 57.

C. A. G. Simkins

Recd 26.2.57.



WHITEHALL 5422

CABINET OFFICE,
GREAT GEORGE STREET,
S.W.1.

61 B-

25th February, 1957.

CONFIDENTIAL

Dear Hollis,

Positive Vetting Progress

You may like to know something of the general picture which emerges from the replies to my letter of 2nd July, 1956, about the progress of positive vetting in Departments.

An analysis of the returns shows that, in general, good progress has been made. This applies particularly to the clearance of Atomic cases, for which field investigations are obligatory, and on which Departments have rightly concentrated. In the Top Secret Defence field there is still a considerable backlog of cases, but these will no doubt be cleared more rapidly now that more investigating officers are available.

One rather disturbing feature has, however, come to light - namely, the different standards which are evidently applied by Departments in the clearance of Top Secret Defence posts. While some Departments pursue all, or virtually all, cases through to stage 4 (field investigation) others seem content to consider anything from 50-100 per cent of these posts cleared after stage 3.

Bridges said, in his letter of 31st March, 1954, that "If, after having examined the replies from referees [stage 3], you are satisfied that you know enough about the person concerned to feel justified in regarding him as wholly fit to be trusted with Top Secret defence information you need proceed no further". But since then we have had the report of the Conference of Privy Councillors on Security. Although they made no specific recommendation on this question there is no doubt that they attached considerable importance to the rigorous application of the positive vetting procedure; and they also emphasised the need to ensure that the same standards of security are observed in all Departments.

It is difficult to lay down hard and fast rules about the application of stage 4, since much will depend on the opportunity for real personal knowledge of the individual who is being vetted. But in the absence of such knowledge (which in large Departments is possible in only a small minority of cases) it is important that field enquiries should be carried out.

Finally may I suggest that your next return should be sent in the form set out in the Appendix to this letter. This will ensure that the same details are supplied by all Departments and will greatly assist our task of analysis.

Yours sincerely,

Norman Brook.

R.H. Hollis, Esq., C.B., O.B.E.

618-

APPENDIX

	<u>Top Secret Defence</u>	<u>Atomic</u>
(a) Total number of P.V. Posts.		
(b) Number of individuals in post considered cleared after stage 3.		
(c) Number of individuals in post cleared after stage 4.		
(d) Backlog.		

50A



WHITEHALL 5422

CABINET OFFICE,
GREAT GEORGE STREET,
S.W.1.

CONFIDENTIAL

2nd July, 1956

Discussed between K, DDG, B: C
on 10.7.56.

-6 JUL 1956

Dear Hollis,

One of the recommendations of the Conference of Privy Councillors on Security was that special arrangements should be made to ensure that the same standards of security are observed in all Departments, and that the Heads of all Departments should, from time to time, be brought into direct and personal consultation on security matters. This recommendation seems to have been prompted by uneasiness about the progress of positive vetting in some Departments and the different standards of investigation applied.

The Heads of Departments most closely concerned with matters of personnel security, of which yours is one, are already brought into consultation through the Official Committee on Security. But there are other Departments not represented on the Official Committee which are concerned with positive vetting and have an interest in matters of personnel security.

I do not think it is necessary to modify the present structure of Security Committees, or to increase the membership of the Official Committee on Security, which would inevitably make it cumbersome. Instead, I make the following proposals for meeting these recommendations of the Privy Councillors' Conference:-

(a) The Heads of all Departments with positive vetting posts (see attached list) should in future receive the papers of the Official Committee, even if they are not represented on it; this should help to ensure that they are kept in the picture so far as questions of security policy are concerned.

(b) I should hold an ad hoc meeting with the Heads of these Departments (i. e. an enlarged meeting of the Official Committee) if any particular security problem arises which requires special consideration.

(c) The Heads of these Departments should send me at regular intervals, i. e. twice yearly, on 1st December and 1st June, a report on the progress of positive vetting in their Departments. As the number of investigating officers employed by the Ministry of Supply has now been substantially increased, it should be possible to work off the backlog of cases to be investigated within a much shorter time than was previously envisaged. The need for these reports will, of course, cease as soon as the backlog has been cleared.

Unless you let me know to the contrary, I shall assume that you agree with these proposals and that you will send me a report on the positive vetting progress in your Department on 1st December, 1956.

Yours sincerely,

Normanbrook

R.H. Hollis, Esq., C.B., O.B.E.

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17

58A

LIST OF DEPARTMENTS WITH POSITIVE
VETTING POSTS

Treasury)
Foreign Office)
Home Office)
Ministry of Defence)
Admiralty)
War Office) *
Air Ministry)
Ministry of Supply)
Security Service)
Atomic Energy Authority)

Lord Chancellor's Department
Scottish Office
Commonwealth Relations Office
Colonial Office
Ministry of Housing
Board of Trade
Ministry of Agriculture
Ministry of Education
Ministry of Labour
Ministry of Works
Ministry of Pensions
Ministry of Health
Ministry of Transport
Ministry of Fuel and Power
General Post Office
Treasury-Solicitor
Stationery Office
Department of Scientific and Industrial
Research
G.C.H.Q.

* Departments represented on the Official Committee on
Security.

SF.50-24-4(153)

Copy: SF.50-24-4(120)

NOTE.

490

When discussing Minutes 56 and 57, B.2. queried whether we ought to have S. Form 353 completed by the G.P.O. staff posted to our work. This form dates from 1952 when P.V. started and is an extract of paras. 14 and 15 of the Security Questionnaire, E.93 Estasec - see SF.50-24-4(120), 1a.

In the course of a conversation today with Bevis of the G.P.O. I ascertained that the first three stages of the P.V. process, one of which is the completion of the E.93, are undertaken simultaneously with the posting of a new recruit to our work. B.2.'s point is therefore covered.

Bevis also told me that field enquiries about the G.P.O. staff now with us will start almost immediately; he undertook to inform us of the clearances as these took place.

B.1.
9.5.56.

C.A.G. Simkins

DRAFT.

47a

PERSONAL AND CONFIDENTIAL.

Room 055,
War Office,
Whitehall, S.W.1.

.....

x (see copy of Press Statement of 8th January 1952 enclosed
herein) - 38a

Dear Sir,

You may be aware that in 1952 the Government introduced a special procedure for checking the reliability of their staff who may have access to exceptionally secret information. This new procedure is being applied to officers irrespective of rank and without regard to the posts in the Civil Service which they may have previously held.

M special comes within the terms of the new procedure, and has given your name as a character referee. I shall be grateful, therefore, if you would be good enough to let us have any information concerning him/her which you think would be of assistance to the Head of the Department in determining whether he/she is a person who could properly be entrusted with exceptionally secret information.

We have of course a complete record of his/her official history, but we do not know so much about those aspects of his/her life outside the office which might have a bearing on his/her reliability. It is here we hope you will be able to help us. I should be obliged, therefore, if you would assist the Department by completing the enclosed report form, and returning it to me at your earliest convenience. Your reply will be treated as strictly confidential.

Yours faithfully,

J.H.Marriott.

Head of Establishments.

PERSONAL AND CONFIDENTIAL.

1. Are you well acquainted with the candidate ?

2. Over what period have you been well acquainted with, and in what capacity have you known the candidate ?

3. Do you know the candidate to be strictly

(a) honest ?

(b) sober ?

(c) conscientious ?

(d) of good character ?

(e) discreet ?

4. Is the candidate to the best of your knowledge free from pecuniary embarrassment ?

*5. Are you aware whether the candidate is or has been a member of, or associated with the Communist Party or a Fascist organisation ?

6. Are you aware of any further circumstances which would tend to disqualify the candidate from Government employment of a secret nature ?

7. Are you related to the candidate ?
If so, what is the relationship ?

To the best of my belief, the above answers are correct.

Signature of Referee.....Date.....

*The Government have decided that no one may be employed in Government Service in connection with work, the nature of which is vital to the security of the State, if he/she is believed to be :—

- (i) Either a member of the Communist Party or a Fascist organisation.
- (ii) Associated with either the Communist Party or a Fascist organisation in such a way as to raise legitimate doubts about his/her reliability.

44b.

Extract from Minutes of Staff Board.

Held on 3.12.54.

2. B.'s proposals as to the procedure to be followed in carrying out P.V. on our own staff were discussed and in principle approved. The D.G. will minute his instructions on the file.

B.
4.12.54.

Copy on SF. 50/24/4(104).

H1a

Personal and Confidential.

Room 055,
WAR OFFICE,
WHITEHALL, S.W.1.

Dear Sir/Madam,

A short while ago you kindly answered my request for a reference for
Mr..... of.....
.....
✓ who is under consideration for employment in this department.

You may be aware that in 1952 the Government introduced a special procedure for checking the reliability of their staff who may have access to exceptionally secret information (*see copy of Press statement of 8th January, 1952, enclosed herewith*). The post for which Mr..... is being considered comes within the terms of the new procedure, and I am therefore writing to ask you to be good enough to answer certain supplementary questions concerning him in order to assist the head of the department to determine whether he is a person who could be trusted with exceptionally secret information.

-38c

Accordingly I should be grateful if you would complete the report form overleaf to the best of your knowledge and belief, and return it to me at your earliest convenience.

Your reply will be treated as strictly confidential.

Yours faithfully,

J. H. MARRIOTT,
Head of Establishments.

10/187
24/5.

- (100) 2/2/52 73 2 1952
- *1. Are you aware whether the candidate is or has been a member of, or associated with, the Communist Party or a Fascist organisation?
 2. Is the candidate to the best of your knowledge free from pecuniary embarrassment?
 3. Are you aware of any circumstances which would tend to disqualify the candidate from Government employment of a secret nature?
 4. Are you related to the candidate? If so, what is the relationship?

*The Government have decided that no one may be employed in Government Service in connection with work, the nature of which is vital to the security of the State, if he/she is believed to be:—

- (i) either a member of the Communist Party or a Fascist organisation,
 - (ii) associated with either the Communist Party or a Fascist organisation in such a way as to raise legitimate doubts about his/her reliability.
- 2

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396



Treasury Chambers,
Great George Street,
London, S.W.1

SECRET
GUARD

ENCL.....

31st March, 1954

28 APR 1954

TO.....

REF.....

1. Would you please refer to my letter of 11th March, 1952, about the procedure for detecting unreliable staff in certain key posts? This procedure, known as Positive Vetting, has recently been under review and it has been decided to introduce certain changes designed to improve security. The opportunity has been taken to consolidate all instructions relating to the Positive Vetting procedure. The consolidated version is given in the Annexes to my formal note attached to this letter. My letter of the 11th March, 1952, and Winnifrith's letter of the 1st September, 1952, should henceforth be regarded as withdrawn.

2. The changes in procedure involve some extension of the Positive Vetting field and a stiffening of the standard of investigation. The whole field cannot, however, be covered for some time and I leave it to you to decide the pace at which you proceed.

3. The number of posts, (other than atomic energy posts) expected to come under the Positive Vetting procedure was previously estimated at not more than 3,000 (see E.C. No. 21/52). The National Staff Side are well aware of this figure and will have to be informed, before it may become apparent to them,

/that

that this estimate is likely to be exceeded. I should be glad therefore, if you would let the Treasury (Mr. A.J. Platt) have, say by the end of August, your estimate of the total number of posts in your Department which will, in the light of the new instructions, be subjected to Positive Vetting.

Extension of the Positive Vetting field

4. Posts outside the atomic energy field to which Positive Vetting has so far applied have been "those which make the holder privy to the whole of a vital secret process, equipment, policy or broad strategic plan or to the whole of an important section of that process, equipment, policy or plan where disclosure would be of crucial value to an enemy or potential enemy, strategically or politically". This definition was at the time deliberately drawn tightly since it was thought unwise at that stage to attempt to cover a wider field.

5. This definition of the range of posts is not, however, altogether satisfactory. On the one hand there are posts which may not make the holder privy to the whole of a vital secret process, etc., but which none the less may afford information sufficient to be of value to a potential enemy. On the other hand,

/there

there are posts which give access to a process which, while vitally secret in itself, is of no great value to an inimical foreign power (e.g. budget secrets). The definition of posts has been revised to take account of this and the Positive Vetting procedure will in future be applied to "all posts in which the duties require regular and constant access to Top Secret defence information or material".

6. As regards the phrase "regular and constant access", I leave it to you to decide, in the light of circumstances in your Department, which posts should be assessed as coming within this category. (I should, however, expect that more posts of the clerical and personal assistant type would be involved than before.) As far as the definition of the type of information is concerned, the inclusion of the word "defence" will limit the scope of the procedure to some extent. I suspect too that a review of documents at present classified as TOP SECRET would result in many papers being down-graded to SECRET.

Stiffening of the Standard of Investigation

7. The four stages of a complete Positive Vetting process are set out in paragraph 2 of the enclosed Annex 1. The first stage in this process is normal vetting; this has been formally extended to cover posts in which the duties require access to security information or material graded CONFIDENTIAL or higher - see Appendix A to this letter. Up till now the first two stages (normal vetting and completion of the Questionnaire) have been carried out

/in

in all cases, but it has been left to Departments to consider, in the light of the replies to the Questionnaire, whether any further enquiries should be made. In future, except in cases of senior Officers who have been personally known to you for many years, the third stage (writing to referees) should also be treated as obligatory. If, after having examined the replies from referees, you are satisfied that you know enough about the person concerned to feel justified in regarding him as wholly fit to be trusted with TOP SECRET defence information you need proceed no further. If, however, you are not so satisfied, you should arrange for the fourth stage (field investigation) to be completed.

Criteria for Assessing Trustworthiness

8. These criteria are set out in Annex 2. You will see that not only subversive tendencies, but certain character defects are regarded as constituting a security risk. I would remind you that those adjudged untrustworthy for character reasons do not come within the scope of Mr. Attlee's statement of 15th March, 1948 and that the Purge Procedure cannot, therefore, be applied to them.

Referees

9. Instructions relating to referees are given in Annex 4. A preliminary to sending any letter to a referee, however, should normally be reference to the Civil Service Commission papers (if any) relating to the person being investigated. The Commission

/have

have agreed to make these records available for inspection for this purpose, provided the inspection is carried out on the Commission's premises by an officer of a rank acceptable to the Civil Service Commission. Requests should be sent to the First Commissioner personally together with the name of the officer nominated to carry out the inspection. The Commission have also asked that no copy should be made of any material in confidential reports to them. From the Commission's records Departments may be able to obtain information about the candidate's background including facts about ancestry and country of origin, which may not at present be known or checked in a number of Departments before appointments are made. It may well be found that the referees so named in the candidate's completed Questionnaire are those who have already made a report to the Civil Service Commission. Despite this the referees should normally be approached again, if only because the emphasis of the enquiry is different. But nothing should be said to them which would show that we knew that they had given references to the Commission. To facilitate the production of papers in the Commission the full name and date of birth of each candidate should be given.

Field Enquiries

10. Notes for the guidance of Investigating Officers are in Annex 3. The person under investigation should be interviewed whenever possible; in some cases it may be thought preferable for the interview

/to

to be conducted by the Investigating Officer, and in others by your Establishment Division, with or without the Investigating Officer present.

Application to Ministers

11. Ministerial posts are, as before, outside the scope of the procedure. No reference to Ministerial posts has, therefore, been included in the consolidated instructions.

Application to Members of the Armed Forces

12. It has been decided that the extension of the Positive Vetting to be applied to Civil Servants will also apply to members of the Armed Forces.

Seconded and Retired Members of the Armed Forces

13. The issue of a Questionnaire to Army, Navy and Air Force personnel rests on the appropriate Service authority (e.g. for military personnel on an Army Council letter). In the case of seconded and retired members of the Armed Forces, special arrangements have been agreed between the Service and three non-Service Departments - see Appendix B to this Letter. These arrangements are open for adoption by other non-Service Departments.

Atomic Energy Posts

14. The enclosed instructions have been confined to non-atomic energy posts because the Positive Vetting

/procedure

procedure for staff on atomic energy work is under review. In the meantime, you should continue to subject to Positive Vetting under normal procedure both candidates for, and occupants of, posts in your Department having access to classified atomic energy information. The Department of Atomic Energy will advise on the definition of "classified atomic energy information" as well as on the scope of the enquiry.

Yours sincerely,

E. E. BRIDGES

APPENDIX A

CATEGORIES OF PERSONS COMING WITHIN THE
NORMAL VETTING PROCEDURE

Departments are required to submit to the Security Service, for normal vetting, the names and particulars of all persons who are:-

CANDIDATES for, or OCCUPANTS of, posts in which the duties require access to security information or material graded CONFIDENTIAL or higher, unless in any case the Department knows that normal vetting has already been carried out in respect of the person in question, and his service since the date of that vetting has been continuous.

N.B. The fact that normal vetting is being extended to cover posts in which the duties require access to security information or material graded CONFIDENTIAL or higher does not mean that there will be a corresponding extension of the Purge Procedure.

APPENDIX B

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SECONDED AND RETIRED ARMY, NAVY AND AIR FORCE PERSONNEL
SPECIAL ARRANGEMENTS FOR POSITIVE VETTING ENQUIRIES
(AGREED BETWEEN THE SERVICE AND THREE NON-SERVICE
DEPARTMENTS, AND OPEN FOR ADOPTION BY OTHER
NON-SERVICE DEPARTMENTS)

I. Serving Personnel

(A) Personnel already seconded

1. The employing Department to be responsible for telling the parent Department which seconded service personnel are in specially secret or key posts.
2. Parent Department to issue all questionnaires.
3. Parent Department to examine questionnaires and relevant papers and make necessary enquiries.
4. Where there is no security doubt Parent Department to issue P.V. certificate to Department concerned.
5. Employing Department to accept this certificate as sufficient clearance.
6. If there is any security doubt, the Parent Department to consult with the employing Department in order to reach an agreed judgment in the case.
7. The Parent Department to retain all documents other than one copy of the P.V. certificate which would be held by the employing Department.

(B) Personnel proposed for secondment

1. The employing Department to be responsible for telling the Parent Department that the post for which appointment is required is a specially secret or key post, so that the latter may complete P.V. before the appointment is made.
2. If there is any security doubt, the Parent Department not to proceed with appointment.

II. Retired Personnel Serving in Civilian Capacities

1. Such personnel to be regarded as civilians.
2. Employing Departments to issue questionnaire.
3. Employing Department to make necessary enquiries, but not to examine the Service Ministry file.
4. Former Service Ministry to examine confidential records when asked to do so.
5. When there is no security doubt former Service Ministry to furnish certificate to the effect that records have been examined and nothing detrimental found.

6. Employing Department to accept this certificate as sufficient to cover information held by the former Service Department up to time of retirement. On receipt of this certificate and in the light of all other enquiries made, Employing Department to issue P.V. certificate if appropriate.

7. If examination of Service Records reveals any security doubt the former Service Ministry to consult with Employing Department whose responsibility it will be to assess reliability.



SECRET

Treasury Chambers,
Great George Street,
London, S.W.1

31st March, 1954

SECURITY ENQUIRIES TO ENSURE THE RELIABILITY
OF STAFF EMPLOYED ON CERTAIN TYPES OF SECRET
WORK (OTHER THAN ATOMIC ENERGY) IN GOVERNMENT
DEPARTMENTS

Will all recipients of the attached instructions (Annexes 1 - 4) which are being issued to all Departments employing staff in the above category ensure that they are put into effect forthwith.

(Signed) E.E. BRIDGES

CONTENTS

- Annex 1 INSTRUCTIONS ON POSITIVE VETTING
- Annex 2 POSTS COVERED BY POSITIVE VETTING
PROCEDURE: CRITERIA FOR ASSESSING
TRUSTWORTHINESS
- Annex 3 FIELD INSTRUCTIONS TO INVESTIGATING
OFFICERS
- Annex 4 INSTRUCTIONS RELATING TO REFEREES

ANNEX 1

INSTRUCTIONS ON POSITIVE VETTING

1. Categories of Persons coming within the Positive Vetting Procedure

Departments are required to subject to Positive Vetting all candidates for, or occupants of, posts in which the duties require regular and constant access to TOP SECRET defence information or material.

2. Procedure for Positive Vetting

Once it has been established that a person comes within the terms of paragraph 1, the Positive Vetting procedure should be applied. The criteria for assessing trustworthiness are in Annex 2.

There are four stages in a complete Positive Vetting process:-

- (a) a normal vetting submission to the Security Service;
- (b) the completion of the Security Questionnaire, E.93 Estasec;
- (c) letters to the referees named in the Security Questionnaire (see Annex 4);
- (d) a field investigation (see Annex 3).

In all cases the first two processes are obligatory. The third is also obligatory except in the case of senior officers who have been personally known to the Head of their Department for many years.

As regards the fourth process, Positive Vetting is intended to enable the Head of the Department to satisfy himself that he knows enough about the reliability of the person concerned to feel justified in regarding him as wholly fit to be trusted with TOP SECRET defence information. If therefore the Head of the Department is so satisfied, after having examined the whole of the information in his possession, he need proceed no further. But, unless he is, he should arrange for the fourth stage to be completed.

3. Assistance from the Security Service

If the replies to the Questionnaire or the results of the further enquiries raise any doubts about the candidate's reliability, Departments should consult the Security Service, who will both give assistance in assessing the case, and undertake further investigations into it, if necessary. But it will in the main rest on the Head of the Department himself to decide how far further enquiries are necessary, before he can satisfy himself that the person concerned is fit to be trusted with TOP SECRET defence information.

4. Periodical Reviews

The fact that the holder of a post qualifying for Positive Vetting has been cleared under the procedure described in paragraph 2 does not warrant him as trustworthy for all time. It is the duty of Heads of Departments to watch for the development of new associations (e.g. on marriage) or ideological changes, and, if need be to institute fresh enquiries (see also sub-paragraph 8(1)).

5. Heads of Departments and other Senior Officers

The fact that an officer holds one of the most senior posts in the Department is no reason for exempting him from the special procedure described in paragraph 2. Heads of Departments will be dealt with by the Secretary to the Treasury as and when appointments are made. Deputy Secretaries and other senior officers will be dealt with by the Permanent Secretary to the Department.

6. Temporary Staff on First Appointment

Departments may, from time to time, either wish or be compelled to appoint a candidate from outside the Service to one of the posts defined in paragraph 1. The same procedure should be followed, as in the case of existing Civil Servants, but in addition Departments, in taking up references, should take special care to obtain reliable opinions as to the candidate's trustworthiness.

7. Staff Transferred or Loaned from one Department to another

The responsibility for verifying the reliability of an officer transferred or loaned from another Department rests with the receiving Department, though naturally they will have to rely in the main on the evidence supplied by the officer's former Department. For transferred staff, the officer's personal file including Positive Vetting papers (if any) should be handed over to the receiving Department. For loaned staff, if the lending Department wishes to retain the officer's personal file and Positive Vetting papers (if any), it should allow the receiving Department to have access to them.

8. Reports to the Security Service

The names of all persons who have been subjected to the Positive Vetting procedure and who come within one of the two categories defined below should be reported to the Security Service:-

- (i) Those who have been cleared under the Procedure. This will ensure that their names are on record in case anything adverse about them should come to notice at a later date.
- (ii) Those who have been rejected under the Procedure on account of character defects. This should obviate the need for further enquiries if the individual comes up again for Positive Vetting in the future. (Cases of political unreliability will have been reported under paragraph 3 above).

9. Maintenance of Personal Records

The personal files of staff who seem likely to be appointed to posts qualifying for Positive Vetting at some point in their career should be maintained with a view to there being available in the Departments as much information as possible about the man's private associations.

7
ANNEX 2

POSTS COVERED BY THE POSITIVE VETTING PROCEDURE:
CRITERIA FOR ASSESSING TRUSTWORTHINESS

1. The Positive Vetting procedure, which the Government has introduced to ensure the reliability of those engaged on exceptionally secret work, covers all those posts in Government service which give the holder regular and constant access to TOP SECRET defence information.
2. A Permanent Head of a Department will not appoint a person to or maintain a person in one of these posts unless he is satisfied that he knows enough about the person concerned to feel justified in regarding him/her as wholly fit to be entrusted with the information to which the post gives access.
3. Evidence of the following will be regarded as raising a presumption of unfitness for a post covered by the Positive Vetting procedure:-

That the individual or his/her spouse:

- (a) Has committed or has attempted to commit or has aided or abetted another to commit any act of sabotage or any breach of the provisions of the Official Secrets Acts.
- (b) Is or has been (other than as a duty) an associate of spies or of persons reasonably suspected of being such or of representatives of foreign powers whose interests may be inimical to those of the United Kingdom or Commonwealth.
- (c) Is or has been a member of the Communist Party or of a Fascist organisation in the United Kingdom or any other country, or of any other subversive organisation.
- (d) Is or has been a significant sympathiser with the Communist or Fascist or other subversive ideology or is or has been a close associate of members of the Communist Party or of any other subversive organisation.
- (e) Has advocated revolution by violence to alter the constitution of the realm.

That the individual:

- (f) Does not conform to the Nationality Rule of the Department.
- (g) Has deliberately omitted significant information from, or falsified, an Application Form or a Security Questionnaire.
- (h) Has been certified insane or has been legally committed to a mental home or has been treated for serious mental disorder, unless there is evidence of cure.

- (i) Has been convicted of a criminal offence.
- (j) Has been addicted to the use of alcohol or drugs habitually and to excess, unless there is evidence of rehabilitation.
- (k) Has shown himself by act or speech to be unreliable, dishonest, untrustworthy or indiscreet.
- (l) Has grossly infringed security regulations.
- (m) Has or is reasonably suspected of having homosexual tendencies.

4. Other information may have a bearing on the individual's fitness for a post covered by the Positive Vetting procedure, such as residence on the part of the individual or of his close relatives in Russia or a Russian Satellite country, or association with subversive groups on the part of the individual's close relatives or former spouse or friends or associates.

5. The Permanent Head of the Department, in reaching his decision, will take into account all the available information, favourable and unfavourable, which bears on the individual's fitness for a post covered by the Positive Vetting procedure. He will not decide in favour of an individual in whose case there is a presumption of unfitness for one or more of the reasons listed in paragraph 3 or for any other reason, unless he is satisfied by the weight of the favourable information about the individual that the presumption can be disregarded without prejudice to the national security.

ANNEX 3

FIELD ENQUIRIES: GUIDANCE TO INVESTIGATING OFFICERS

1. The purpose of background investigations conducted under the Positive Vetting procedure is to supply the Head of the Department with information to help him to determine the fitness of persons to occupy posts covered by the procedure. The fact that a background investigation is being made is not secret, but information about the methods used must not be divulged to any unauthorised person.
2. Each Investigating Officer will be provided by his Department with a card of identity and authority which in the course of his official enquiries he will show to police officers and others when necessary.
3. Investigating Officers should be thoroughly familiar with the contents of the paper "Posts covered by the Positive Vetting Procedure: Criteria for assessing trustworthiness". In addition, each Investigating Officer will be specially briefed for each investigation. He will be told to what extent the information already available about the person is inadequate for the purpose in hand, and what should be the scope of his investigation.
4. Before starting enquiries Investigating Officers will be provided with all the available background information about the person to be investigated. The documents so made available should be listed at the beginning of each report.
5. Whenever it is possible the Investigating Officer, unless instructed to the contrary, will interview the person under investigation. The purposes of his interview are to establish identity, to obtain some knowledge of character, and to run through and if necessary seek amplification of the answers given in the Security Questionnaire. Inspection of a passport or other official document which the person may without pressure show to the Investigating Officer may also be useful. The Investigating Officer will include in his report a physical description of the person (unless he is known to the Department) and an estimate of his character.
6. Interviews may also be held with present or previous employer(s) character referees, University dons or schoolmasters, police officers and such other persons as may be able to assist the investigation. In making enquiries of character referees Investigating Officers should be careful to discover whether they are well acquainted with the individual and are fit persons to express an opinion on his/her reliability. They should pursue their enquiries until they are satisfied that they have interviewed persons who meet these requirements.
7. In deciding on the nature of their enquiries at interviews, etc., Investigating Officers should be guided by the contents of the paper ("Criteria for Assessing Trustworthiness"). They should not, however, use this paper as a catalogue of points to be raised at interviews.
8. Investigating Officers should not conduct interviews by telephone.

9. Investigating Officers should remember that the object of the Permanent Head of the Department is to establish whether the individual is a security risk. Throughout the investigation care should be taken to avoid giving any impression that the Department has a preference for employees holding any particular political views.

10. If information is revealed showing past or present subversive tendencies as opposed to other undesirable tendencies on the part of the individual or his close relatives, the Investigating Officer should forthwith discontinue his investigation of the case, report the facts to his Department and await further instructions.

11. The following information, not all of which is obtainable from the Security Questionnaire, should be an object of enquiry in all investigations, unless instructions to the contrary are given in briefing:-

- (a) Details of residence and occupation for at least the last ten years.
- (b) All organisations, societies or associations to which the individual may belong.
- (c) Details of the individual's close relatives (including wife or husband, parents, brothers, sisters, and former wives or husbands) and their personal particulars. If information is obtained which shows that a close relative has subversive tendencies or is otherwise unreliable, the Permanent Head of the Department will need to know the degree of contact and the nature of the personal relationship between the individual and the relative whose reliability is in doubt.
- (d) Particulars of changes of name and of any pseudonyms, pen names or aliases which the individual may be using or have used.

12. Investigating Officers will be able to seek assistance from Police Forces under arrangements authorised by the Home Office and the Scottish Home Department. These arrangements are as follows:-

- (a) Investigating Officers may refer to the police on the question whether the individual and his referees and any other person to whom they may have occasion to refer in the course of their enquiries are persons of good character and reliability.
- (b) Opinions expressed by the police will be based on information in their possession. The police will neither make special enquiries themselves nor participate in the investigations of Investigating Officers.

- (c) Security intelligence in the possession of the police is normally passed direct to the Security Service or has been imparted to them by the Security Service. Any such intelligence should have been communicated to the Department at the start of the procedure, but the police have been informed that if they have reason to suppose that relevant information of a subversive nature is not in possession of the Investigating Officer, the latter should be referred back to his Department who will get in touch with the Security Service.
- (d) Investigating Officers will not disclose, except in their reports to their Department, that there has been consultation with the police in any particular case or attribute any responsibility to the police in the matter.
- (e) Investigating Officers, when approaching the police, will address themselves in each case to the Headquarters of the Police Force concerned and not to Divisional Headquarters or other subordinate offices. It is not intended that this should rule out reference to local police if the chief officer of police agrees that such reference may be made in particular cases.

13. As a general principle the sources of information given in reports should be quoted. When detailing, for example, the educational or occupational background of an individual the Investigating Officer should state in his report whether the information was obtained from the individual or from papers in possession of the Department or whether he had been able to check from other independent sources.

14. INVESTIGATING OFFICERS HAVE A SPECIAL DUTY TO EXERCISE TACT IN THEIR ENQUIRIES OF THE PERSON UNDER INVESTIGATION, OF HIS REFEREES AND OF ANY ONE ELSE WHOM THEY APPROACH.

ANNEX 4

INSTRUCTIONS RELATING TO REFEREES

1. The Questionnaire which an individual is required to complete in the second stage of the Positive Vetting procedure includes a request for the names of two referees.
2. Two draft letters to referees, intended respectively for "Intake" and "Occupants", are enclosed (Annex 4A and Annex 4B). Normally these standard letters should be used, but exceptionally, where particular circumstances make it inappropriate, e.g. when the Department knows the referee, a tailor-made letter will be more suitable.
3. In order to leave the referee in no doubt as to the purpose of the enquiry, a copy of the Press Statement of the 8th January, 1952 should also be enclosed, together with an addressed envelope (for his reply) marked Personal and Confidential, which will act as an added assurance that the reply will in fact be treated confidentially.
4. If a referee nominated is an official colleague, his name may be accepted provided he is well acquainted with the individual in private life. If, however, he is not well acquainted, then another referee's name should be sought.
5. If, despite the injunction in paragraph 12 of the Questionnaire, a relative is named as a referee, the Department should ask for another referee.

"A" ... INTAKE

DRAFT

PERSONAL and CONFIDENTIAL

Dear Sir,

UK

You may be aware that in 1952 the Government introduced a special procedure for checking the reliability of their staff who may have access to exceptionally secret information. [This new procedure is being applied to officers irrespective of rank and without regard to the posts in the Civil Service which they may have previously held.] *See Ann 3/52*

M
comes within the terms of the new procedure and has given your name as a character referee. I am therefore writing to ask if you would be good enough to let us have any information concerning him/her which you think would be of assistance to the Head of the Department in determining whether he/she is a person who could properly be entrusted with exceptionally secret information. For this purpose I should be grateful if you would complete the enclosed report form to the best of your knowledge and belief and return it to me at your earliest convenience. The report form has been compiled with a view to assisting referees to provide the Department with the type of information which they require in assessing reliability. Your reply will be treated as strictly confidential.

Yours faithfully,

.....

PERSONAL AND CONFIDENTIAL

- | | |
|--|-----------|
| 1. Are you well acquainted with the candidate? | 1. |
| 2. Over what period have you been well acquainted with the candidate? <i>and in what capacity have you known</i> | 2. |
| 3. Has the candidate ever been in your employ or subject to your authority? If so - | 3. |
| (a) during what period? | (a) |
| (b) why did he/she leave your employment? | (b) |
| 4. If not employed under you, in what capacity have you known the candidate? | 4. |
| 3 5. Do you know the candidate to be strictly | 5. |
| (a) honest? | (a) |
| (b) sober? | (b) |
| (c) conscientious? | (c) |
| (d) of good character? | (d) |
| (e) discreet? | (e) |

- 4
~~6.~~ Is the candidate to the best of your knowledge free from pecuniary embarrassment? 6.
- (+) ~~7.~~ ⁵ Are you aware whether the candidate is or has been a member of, or associated with the Communist Party or a Fascist organisation? 7.
- ~~8.~~ ⁶ Are you aware of any further circumstances which would tend to disqualify the candidate from Government employment of a secret nature? 8.
- ~~9.~~ ³ Are you related to the candidate? If so, what is the relationship? 9.

TO THE BEST OF MY BELIEF, THE ABOVE ANSWERS ARE CORRECT

Signature of Referee:

Date

-12-

- (+) The Government have decided that no one may be employed in Government Service in connection with work the nature of which is vital to the security of the State if he/she is believed to be:-
- (i) Either a member of the Communist Party or a Fascist organisation
 - (ii) Associated with either the Communist Party or a Fascist organisation in such a way as to raise legitimate doubts about his/her reliability.

Room 035

ANNEX 4B

"B" . . . OCCUPANTS

DRAFT

PERSONAL and CONFIDENTIAL

Dear Sir,

You may be aware that in 1952 the Government introduced a special procedure for checking the reliability of their staff who may have access to exceptionally secret information. This new procedure is being applied to officers irrespective of rank and without regard to the posts in the Civil Service which they may have previously held.

M comes within the terms of the new procedure and has given your name as a character referee. I shall be grateful, therefore, if you would be good enough to let us have any information concerning him/her which you think would be of assistance to the Head of the Department in determining whether he/she is a person who could properly be entrusted with exceptionally secret information.

We have, of course, a complete record of his/her official history but we do not know so much about those aspects of his/her life outside the office which might have a bearing on his/her reliability. It is here we hope you will be able to help us. I should be obliged, therefore, if you would assist the Department by completing the enclosed report form and returning it to me at your earliest convenience. Your reply will be treated as strictly confidential.

Yours faithfully,

.....

M *52v*

- 1. Are you well acquainted with M *Verma*
- 2. Over what period have you been well acquainted with him/her?
- 3. In what capacity have you known him/her?
- 4. What is your assessment of his/her character?
- (+) 5. Are you aware whether he/she is or has been a member of, or associated with the Communist Party or a Fascist organisation?
- 6. Are you aware of any circumstances which would tend to disqualify him/her from employment by the Government on work of a secret nature?

(Signature)

(Date)

-
- (+) The Government have decided that no one may be employed in Government Service in connection with work the nature of which is vital to the security of the State if he/she is believed to be:-
 - (i) either a member of the Communist Party or of a Fascist organisation;
 - (ii) associated with either the Communist Party or a Fascist organisation in such a way as to raise legitimate doubts about his/her reliability.

Draft Letter/Minute to

Grading *38a.*

Candidate's Referees.

Date 30.4.54.

Copies to

Our Ref.

Their Ref.

For Signature by

Approved by

Personal & Confidential - From Room 055

Dear Sir,

A short while ago you kindly ^{answered} ~~responded~~ to my request for a reference for Mr. of, who is under consideration for employment in this department.

You may be aware that in 1952 the Government introduced a special procedure for checking the reliability of their staff who may have access to exceptionally secret information (see copy of Press statement of 8th January, 1952, enclosed herewith). The post for which Mr. is being considered comes within the terms of the new procedure, and I am therefore writing to ask you to be good enough to answer certain supplementary questions concerning him in order to assist the head of the department to determine whether he is a person who could be trusted with exceptionally secret information.

Accordingly I should be grateful if you would complete the enclosed report form ^{overleaf} to the best of your knowledge and belief, and return it to me at your earliest convenience.

Your reply will be treated as strictly

confidential.

S. FORM 181A/rev. 5.52.

Continue overleaf if necessary.

Yours faithfully

Establishment B

Draft Letter/Minute to

Grading

Copies to

Date

Our Ref.

For Signature by

Their Ref.

Approved by

- + 1. Are you aware whether the candidate is or has been a member of, or associated with, the Communist Party or a Fascist organisation.
2. Is the candidate to the best of your knowledge free from pecuniary embarrassment?
3. Are you aware of any ~~farther~~ circumstances which would tend to disqualify the candidate from Government employment of a secret nature?
4. Are you related to the candidate? If so, what is the relationship?
.....

+ The Government have decided that no one may be employed in Government Service in connection with work, the nature of which is vital to the security of the state, if he/she is believed to be:-

- (i) either a member of the Communist Party or a Fascist organisation.
- (ii) associated with either the Communist Party or a Fascist organisation in such a way as to raise legitimate doubts about his/her reliability.

Continue overleaf if necessary.

PRESS STATEMENT

38a

His Majesty's Government have been considering the procedure for ensuring the reliability of Government staff employed on exceptionally secret work, especially work involving access to secret information about atomic energy.

They have decided that special enquiries should be made about those holding or applying for such posts. Further particulars will be sought from them and from other persons so that the Minister concerned may judge whether they are fit to be entrusted with such information. Any considered to be unfit, including members of the Communist Party or of a Fascist organisation or those associated with such bodies in such a way as to raise legitimate doubts about their reliability, will be barred from such employment. The safeguards laid down by the previous Government for any persons removed from secret work in the Civil Service on account of such associations will be maintained, the staff being transferred to other work in all cases possible.

Details of the proposed procedure are being discussed with the Staff interests concerned.

(Released to Press 8th January, 1952.)

37a.

PERSONAL AND CONFIDENTIAL.

SF.50-24-4(120)/D.G.

To :- All Members of the Staff.

Home and Overseas.

1. Following upon A.Division Circular No.391, or when you joined the Service, as the case may be, you completed a Supplementary Security Questionnaire (S.Form 353). This was part of what is known as the Positive Vetting Procedure under which I, as Head of the Department, am required to satisfy myself that I know enough about the reliability of the person concerned to feel justified in regarding him or her as wholly fitted to be trusted with Top Secret defence information. This is a heavy responsibility, and particularly so in a Service which has to set a standard for all other Government Departments.

2. The Government have now decided to make certain changes in the Positive Vetting Procedure, and in consequence I have decided to undertake a review of the security status of every member of the staff. In order to assist me in making this review, in which I am sure that I can count on your full cooperation, I am asking you to supply me with the names and addresses of two persons, of whom one may be another member of the Staff, who know you well in your private life and who can if necessary speak as to your character and general reliability. Please therefore complete and return this form to B. as soon as possible.

3. You will be informed if and when your references are to be taken up, and accordingly I should prefer you not to inform referees outside the Service that you have quoted them until B.Branch tell you that an approach will be made to them.

D. G. White

Director General.

20th April, 1954.

P.T.O.

PARTICULARS OF REFEREES.

1. NAME
ADDRESS
.....
OCCUPATION
LENGTH OF ACQUAINTANCE
.....

2. NAME
ADDRESS
.....
OCCUPATION
LENGTH OF ACQUAINTANCE

Signature

Section

Draft ~~Letter~~ Minute to:

D.G. Circular.

Copies to All Members of the Staff.
Home and Overseas.

For Signature by D.G.

36a
Grading PERSONAL AND
CONFIDENTIAL.

Date 8.4.54.

Our Ref. SF.50-24-4(120)

Their Ref.

Approved by

1. Following upon A.Division Circular No.391, or when you joined the Service, as the case may be, you completed a Supplementary Security Questionnaire (S.Form 353). This was part of what is known as the Positive Vetting Procedure under which I, as Head of the Department, am required to satisfy myself that I know enough about the reliability of the person concerned to feel justified in regarding him or her as wholly fitted to be trusted with Top Secret defence information. This is a heavy responsibility, and particularly so in a Service which has to set a standard for all other Government Departments.

2. The Government have now decided to make certain changes in the Positive Vetting Procedure, and in consequence I have decided to undertake a review of the security status of every member of the staff. In order to assist me in making this review, in which I am sure that I can count on your full cooperation, I am asking you to supply me with the names and addresses of two persons, of whom one may be another member of the Staff, who know you well in your

/private

Continue overleaf if necessary.

Draft Letter/Minute to

Grading

Copies to

Date

Our Ref.

Their Ref.

For Signature by

Approved by

- 2 -

private life and who can if necessary speak as to your character and general reliability. Please therefore complete and return this form to B. as soon as possible.

3. You will be informed if and when your references are to be taken up, and accordingly I should prefer you not to inform referees outside the Service that you have quoted them until B.Branch tell you that an approach will be made to them.

Director General.

Particulars of Referees.

1. NAME

ADDRESS

OCCUPATION

LENGTH OF ACQUAINTANCE

2. NAME

ADDRESS

OCCUPATION

LENGTH OF ACQUAINTANCE

Signature

Section

Continue overleaf if necessary.

Draft Letter/Minute to

Grading

Date 5.4.54. ^{34a.}

Copies to

Our Ref.

Their Ref.

For Signature by

Approved by

Revised Draft of Paragraph 3
of 29a.

3. You will be informed if and when your references are to be taken up, and accordingly I should prefer you not to inform referees outside the Service that you have quoted them until B.Branch tell you that an approach will be made to them.

Continue overleaf if necessary.

Draft ~~Letter~~ Minute to
D.G. Circular

29a
Grading PERSONAL AND
CONFIDENTIAL.

Date 22.3.54.

Copies to All members of the Staff.
Home and Overseas.

Our Ref. SF.50-24-4(120)..

Their Ref.

For Signature by D.G

Approved by

1. Following upon A. Division Circular No.391, or when you joined the Service, as the case may be, you completed a Supplementary Security Questionnaire (S. Form 353). This was part of what is known as the Positive Vetting Procedure ^{under} in which I as Head of the Department, am required to satisfy myself that I know enough about the reliability of the person concerned to feel justified in regarding him or her as wholly fitted to be trusted with Top Secret defence information. This is a heavy responsibility, and particularly so in a Service which has to set a standard for all other Government Departments.

2. The Government have now decided to make certain changes in the Positive Vetting Procedure ^{and in consequence I have decided} which ~~make it necessary for me~~ to undertake a review of the security status of every member of the staff. In order to assist me in making this review, in which I am sure that I can count on your full cooperation, I am asking you to supply me with the names and addresses of two persons, of whom one may be another member of the staff who know you well in your private life and who can if necessary, speak as to

1. References in this paper to the Covering Letter, Annexes and Appendices relate to the documents at 10A in SF.53/12/5(179)Supp.A.

2. It could probably be argued that few members of the Security Service have "constant and regular access to Top Secret defence information", but the nature of our work is such that we ought to regard all our staff - of all grades and without exception - as coming within the policy. This was implicitly accepted when it was decided in 1952 to have the Supplementary Security Questionnaire completed. Those questionnaires were not to be completed by "personnel attached to stations from other Departments, e.g. Service officers" (12a). In accordance with para. 7 of Annex 1, we ought to make sure that the appropriate steps have been taken in respect of such individuals.

3. Provided that our existing staff and all candidates for employment have been or are made to complete the questionnaire, and that all references are taken up, then, subject to certain points of detail, referred to in the "Plan of Action" set out at the end of this minute, all that remains to be considered is:-

- (a) Whether our method of taking up references should be brought more closely into line with Annex 4;
- (b) whether we ought to consider making field enquiries about any of our staff and candidates, and, if so,
- (c) which of our staff and candidates should be subjected to such enquiries and what should be the scope of the enquiries.

4. I do not think we need slavishly adopt the forms of letter and questionnaire set out in Annex 4. It is not clear from 22a whether all the questions set out in the questionnaire attached to Annex 4A are asked of referees, but clearly questions 1 - 4 are important in assessing the value of a reference. Question 5 is in effect covered. Questions 6 and 7 ought, in my view, to be asked. Question 8 is in effect covered, provided it is made clear in our letters that we are seeking a reference for employment of a secret nature. Question 9 ought to be included, despite the wording of 28 and 32 of our S. Form 49 and S. Form 147/43.

5. The case for making field enquiries about some of our staff or candidates rests on three grounds:-

- (a) Experience in other Government Departments (e.g. the Foreign Office and G.C.H.Q.) has demonstrated beyond question that they are capable of producing unfavourable information, which ought to be taken into account in assessing an individual's fitness and which does not come to light through normal vetting or the taking up of references, and is not known to, or at least disclosed by, the individual's colleagues. Such enquiries can therefore be justified as a good security measure.

/(b)

copied to
116-8.9

107/c
1.3.54

- (b) It is, or at all events has been, the policy of the Security Service to encourage Departments to make field enquiries; it would be inconsistent for us to reject them as unnecessary for our own staff.
- (c) While it may be highly improbable that any present member of our staff is or ever has been a Communist or Fascist, or a spy, it is less certain that all are of such blameless character as to be wholly reliable, or that all the defects of all our staff are known to B. Branch. Should there be a serious breach of security by one of our staff, we would be open to the most serious and justified criticism if we had failed to follow the policy adopted for the Government Service as a whole.

6. For which of our existing staff should field enquiries be considered? The test in the Civil Service is whether the head of the Department is satisfied, after examining the whole of the information in his possession, that the individual is wholly fit to be trusted with Top Secret defence information. Conscientiously applied, this is a very stringent test. It must involve some knowledge of the family background and private life of the individual. There are, no doubt, members of the Security Service of whom, say, one of the D.G., D.D.G., the Assistant Directors, B.1 or B.2, could certify without reservation that they are wholly fit. I have equally little doubt that there are others of whom no such assurance could honestly be given.

7. If there remains any scintilla of doubt about an individual, what further enquiries should be made? Obviously there is no single answer; as in any investigation, each case must be treated on its merits. On the assumption that all the routine paper enquiries have been made, and that there is no particular matter calling for investigation, I suggest that some, or all, of the following steps ought to be taken, in this order:-

- (a) An interview by an officer of B. Branch with the individual, to obtain information about those aspects of the individual's background and private life of which we are insufficiently informed. The interview might be directed towards obtaining detail about some or all of the following types of information - financial position, family background, membership of political, religious or social organisations, main interests outside the office, the extent to which the individual's employment is known amongst friends and relatives.
- (b) The individual should be asked to name one or more new referees to whom letters in the usual form should be written.
- (c) If the replies are not comprehensive or wholly satisfactory, the referees should be interviewed.

After these steps had been taken, it would be the exception for any doubt to remain. If any did remain, then field enquiries should be undertaken. (By "field enquiries" I mean enquiries of the kind described in Annex 3, and in particular in paragraph 6 of the Annex). The enquiries would best be conducted by our own staff (A.5 or the Security Officer), but in particular areas it might be sensible to enlist

/the aid

the aid of the civil police. Finally, there might be a further interview by B. with the individual to tidy up loose ends, or to inform him that the enquiry was complete, or both.

8. If there are members of our existing staff of whose fitness we are not wholly convinced, it is probable that uncertainty about candidates will be more frequent. This problem is examined below (para. 9 C (5)).

9. Plan of Action.

A. Existing Staff.

(1) The staff should be informed by circular that, in accordance with Government policy, the security status of every member was being reviewed.

(2) B. Branch should review the R. of S. of every member of the staff to check that on recruitment or later

(a) all necessary L.U's were carried out, i.e. L.U's on our own records, C.R.O., and other Police Forces (see also paras. C (2) and (3) below),

(b) adequate written references were obtained,

(c) completed Personal Particulars and Supplementary Security Questionnaire forms are filed.

(3) On the assumption that an individual's R. of S. is in order or had been put in order, then, if he conscientiously can, a B. Branch officer should sign a certificate on the lines described in para. 6 above, and if he cannot, should seek an officer from among, say, D.G., D.D.G., the Assistant Directors, H/S.I.M.E. and H/S.I.F.E. who can.

(4) If no appropriate officer feels justified in signing a certificate, then action on the lines described in para. 7 should be taken.

B. Attached Service Officers and Other Ranks.

I suggest we should negotiate agreements with the Service Departments on the lines of Appendix B.

C. Candidates.

(1) It is assumed that each candidate, male and female, and of whatever grade, will have

(a) completed a Personal Particulars and Supplementary Security Questionnaire form,

(b) been interviewed at least once,

and that two references will have been taken up.

(2) I suggest Security Service L.U's should be made on

(a) the candidate,

(b) the parents,

THIS IS A COPY ORIGINAL DOCUMENT RETAINED IN DEPARTMENT UNDER SECTION 3(4) OF THE PUBLIC RECORDS ACT 1958 July 2022

/(c)

- (c) foreign relatives and relatives married to foreigners. *done*

(The Personal Particulars forms should be amended to require particulars of any different surnames, pseudonyms, pen names, used at any time by the candidate). ✓

(3) I suggest the candidate should be looked-up by C.R.O. and by the local force or forces in whose areas the candidate has resided during the previous 10 years. *done*
(The Personal Particulars forms should be amended to require this information).

(4) If the applicant was employed by another Government Department, that Department's records should be taken over or inspected and the records of the Civil Service Commission also inspected (Annex 1, para. 7, and Covering Letter, para. 9). In respect of a retired Service officer the Service Ministry should be approached. *done*

(5) If at this stage any doubts about the candidate exist, he will no doubt normally be rejected or the doubts will be investigated. In other cases it will be possible to recommend to the D.G. that the candidate is wholly fit, or that no further enquiries would be useful. For example, the candidate is entering the Service direct from school, or typing school, or a University, and the references have fully covered the candidate's adult life. Other candidates will be very well known to and highly recommended by existing members of the staff, in whose judgement full reliance can be placed. There will, however, remain some - notably, perhaps, those between 25 and 40 - about whom field enquiries on the lines described in para. 7 ought to be undertaken to fill in gaps in our knowledge.

(6) A certificate on the lines described in para. 6 should, I suggest, be signed before engagement by a B. Branch officer or by the Security Service officer introducing the candidate.

10. When routine field enquiries are to be undertaken about a member of our staff, or about a candidate, the individual should be told this is to be done, though he need not be told what will be done. *done*

11. I have not drafted a certificate to meet the proposals in sub-paras. 9A(3) and 9 C (6), but would do so if you desire.

E.M.

C.
1.3.54.

E.M. Furnival Jones.

11a

SF.50/24/4(120)D.E/A.

Distribution:

All Members of the Staff.

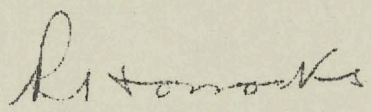
A. DIVISION CIRCULAR No. 391.

SECURITY QUESTIONNAIRE.

1. In conformity with a recent Government decision, every member of the staff is required to complete a Security Questionnaire.

2. The necessary forms (S. Form 353) will be distributed shortly to Heads of Sections who will be responsible for their completion by every member of their Section and for returning the forms to Establishments.

3. The co-operation of all is asked in completing this task as rapidly as possible.



R. Horrocks

D.E/A.
5.4.52.

(Note: Circular No. 390 had limited distribution).

Draft ~~Letter/Minute~~ to: A. Division Circular Approved by

Distribution: HOME and OVERSEAS.

Date

No. of Copies

Our Ref.

Their Ref.

Despatched on

For Signature by D.E/A.

Date 28.3.52.

SECURITY QUESTIONNAIRE.

In conformity with a recent Government
(including Heads Overseas)
decision, every member of the staff is
required to complete a Security Questionnaire.

The necessary forms (S.Form)
will be distributed shortly to Heads of Sections
who will be responsible for their completion
by every member of the Section, and for their
return to 'E'.

The co-operation of all is asked in
completing this task as rapidly as possible.

SURNAME (in block capitals)..... R. of S. No.....

Christian names in full.....

SUPPLEMENTARY SECURITY QUESTIONNAIRE

(to be filled up in conjunction with S. Form 147/43 or S. Form 49)

Your (prospective) employment puts you in touch with information of outstanding importance from the point of view of security and the Government have decided that special enquiries must be made about the reliability of those in such employment. In order that these enquiries may be made you are asked to complete this questionnaire in ink or typescript.

1. Have you ever been convicted of any offence?.....
(Answer "Yes" or "No")
If the answer is "yes" give the particulars.

2. (i) Are you a member of the Communist Party in the United Kingdom or in any other country?
.....
(Answer "Yes" or "No")

(ii) If the answer to (i) is "No," have you ever been a member of the Communist Party in the United Kingdom or in any other country?
.....
(Answer "Yes" or "No")

If the answer is "Yes," state dates of membership and the circumstances in which you joined and left.

(iii) Do you belong, or have you ever belonged, to any body associated with, or which you suppose to be connected with or in sympathy with the Communist movement?
.....
(Answer "Yes" or "No")

N.B.—In answering question (iii) you should take into account not merely your own belief but also the sort of opinion which is generally held of the body in question, even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

3. (i) Are you now a member of any Fascist organisation in the United Kingdom or in any other country?
.....
(Answer "Yes" or "No")

(ii) If the answer to (i) is "No," have you ever been a member of any Fascist organisation in the United Kingdom or any other country?
.....
(Answer "Yes" or "No")

(iii) Do you belong, or have you ever belonged, to any body associated with or which you suppose to be connected with or in sympathy with any Fascist movement?
.....
(Answer "Yes" or "No")

N.B.—Under this heading you should list any bodies generally held to be connected with, or in sympathy with, any Fascist Movement even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of any such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

CERTIFICATE.

I CERTIFY that the foregoing information is correct and complete to the best of my knowledge and belief. I am not aware of any circumstances which might cause my fitness for employment to be questioned. I understand that any false statement or omission may render me liable to disqualification or to disciplinary action, which may include dismissal.

Date.....

Signature.....

10 353

6a

SURNAME (in block capitals)..... R. of S. No.....

Christian names in full.....

SUPPLEMENTARY SECURITY QUESTIONNAIRE

(to be filled up in conjunction with S. Form 147/43 or S. Form 49)

*See new paragraph attached **

Your (prospective) employment puts you in touch with information of outstanding importance from the point of view of security, and you are therefore asked to fill in the questions set out below. ~~The questions are submitted in accordance with present Government instructions.~~

1. Have you ever been convicted of any offence?.....
(Answer "Yes" or "No")

If the answer is "yes" give the particulars.

2. (i) Are you a member of the Communist Party in the United Kingdom or in any other country?

.....
(Answer "Yes" or "No")

(ii) If the answer to (i) is "No," have you ever been a member of the Communist Party in the United Kingdom or in any other country?

.....
(Answer "Yes" or "No")

If the answer is "Yes," state dates of membership and the circumstances in which you joined and left.

(iii) Do you belong, or have you ever belonged, to any body associated with, or which you suppose to be connected with or in sympathy with the Communist movement?

.....
(Answer "Yes" or "No")

N.B.—In answering question (iii) you should take into account not merely your own belief but also the sort of opinion which is generally held of the body in question, even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

3. (i) Are you now a member of any Fascist organisation in the United Kingdom or in any other country?

.....
(Answer "Yes" or "No")

(ii) If the answer to (i) is "No," have you ever been a member of any Fascist organisation in the United Kingdom or any other country?

.....
(Answer "Yes" or "No")

(iii) Do you belong, or have you ever belonged, to any body associated with or which you suppose to be connected with or in sympathy with any Fascist movement?

.....
(Answer "Yes" or "No")

N.B.—Under this heading you should list any bodies generally held to be connected with, or in sympathy with, any Fascist Movement even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of any such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

CERTIFICATE.

I CERTIFY that the foregoing information is correct and complete to the best of my knowledge and belief. I am not aware of any circumstances which might cause my fitness for employment to be questioned. I understand that any false statement or omission may render me liable to disqualification or to disciplinary action, which may include dismissal.

Date.....

Signature.....

*
Your (prospective) employment puts you in touch with information of outstanding importance from the point of view of security and the Government have decided that special enquiries must be made about the reliability of those in such employment. In order that these enquiries may be made you are asked to complete this questionnaire in in ink or typescript.

5a

SURNAME (in block capitals)

R. of S. No.

Christian names in full

SUPPLEMENTARY SECURITY QUESTIONNAIRE
(to be filled up in conjunction with S. Form 147/43)
S. Form 49

Your (prospective) employment puts you in touch with information of outstanding importance from the point of view of security, and you are therefore asked to fill in the questions set out below. ~~The questions are submitted in accordance with present Government instructions~~

1. Have you ever been convicted of any offence?
(Answer "Yes" or "No")

If the answer is "yes" give the particulars.

2. (i) Are you a member of the Communist Party in the United Kingdom or in any other country?
(Answer "Yes" or "No")

(ii) If the answer to (i) is "No", have you ever been a member of the Communist Party in the United Kingdom or in any other country?

.....
(Answer "Yes" or "No")

If the answer is "Yes", state dates of membership and the circumstances in which you joined and left.

(iii) Do you belong, or have you ever belonged, to any body associated with, or which you suppose to be connected with or in sympathy with the Communist movement?

.....
(Answer "Yes" or "No")

N.B. In answering question (iii) you should take into account not merely your own belief but also the sort of opinion which is generally held of the body in question, even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

3. (i) Are you now a member of any Fascist organisation in the United Kingdom or in any other country?
(Answer "Yes" or "No")

(ii) If the answer to (i) is "No", have you ever been a member of any Fascist organisation in the United Kingdom or any other country?

.....
(Answer "Yes" or "No")

(iii) Do you belong, or have you ever belonged, to any body associated with or which you suppose to be connected with or in sympathy with any Fascist movement?

.....
(Answer "Yes" or "No")

N.B. Under this heading you should list any bodies generally held to be connected with, or in sympathy with, any Fascist Movement even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of any such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

CERTIFICATE

I certify that the foregoing information is correct and complete to the best of my knowledge and belief. I am not aware of any circumstances which might cause my fitness for employment to be questioned. I understand that any false statement or omission may render me liable to disqualification or to disciplinary action, which may include dismissal.

Date..... Signature

(i) Are you a member of the Communist Party in the United Kingdom or in any other country?
.....
(Answer "Yes" or "No")

(ii) If the answer to (i) is "No", have you ever been a member of the Communist Party in the United Kingdom or in any other country?
.....
(Answer "Yes" or "No")

(iii) Do you belong, or have you ever belonged, to any body associated with, or which you suppose to be connected with or in sympathy with, the Communist movement?
.....
(Answer "Yes" or "No")

(iv) In answering question (iii) you should take into account not merely your own belief but also the sort of opinion which is generally held of the body in question, even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

(v) Are you not a member of any Fascist organization in the United Kingdom or in any other country?
.....
(Answer "Yes" or "No")

(vi) If the answer to (v) is "No", have you ever been a member of any Fascist organization in the United Kingdom or in any other country?
.....
(Answer "Yes" or "No")

(vii) Do you belong, or have you ever belonged, to any body associated with, or which you suppose to be connected with or in sympathy with, any Fascist movement?
.....
(Answer "Yes" or "No")

14A
2A
2 October 1959

Our ref: SF.50-24-4(120)B1.
Your ref: Pol.421/1/30.

SECRET & PERSONAL

Dear Rudd,

The Branch which has been sitting in on the Criminal Record Check Working Party has asked me to reply for this Service to the circular letter Pol.421/1/30 of 26 August 1959. I am not sure that our contribution will be at all helpful, partly because of the size of the Service, partly because of its constitution, but principally because for our own independent reasons we already make criminal record checks for all candidates.

That being the case, I do not think I can usefully reply for this Service to the specific questions asked in paragraphs 2, 4 and 5 of the letter.

Yours sincerely,

C.J.H. FOULKES
C.J.H. Foulkes
for Head of Establishments

G. Rudd, Esq.,
Home Office,
Whitehall, S.W.1.

(Encl. 2 sheets)

SECRET

The Working Party on Criminal Record Checks

Return by Departments

Name of Department SECURITY SERVICE

The possible extension of criminal record checks to cover the whole of the positive vetting field.

1. What categories in the P.V. field are not already subject to a criminal record check, and how many additional checks would be required annually to cover them:-

<u>Description of category</u>	<u>Annual number of checks required</u>
--------------------------------	---

None	Nil
------	-----

2. What extra staff would you need if criminal record checks were carried out throughout the P.V. field:-

(i) Grade N.A.

(ii) Number N.A.

SECRET

The extent of existing criminal record checks in the normal vetting field

3. What categories in the N.V. field are already subject to a criminal record check; if possible, please set out, in the categories, under the following three heads:-

- (a) Staff of the Department (including industrial Civil Servants)

All

- (b) Contractors' employees

N.A.

- (c) Consultants.

N.A.

4. What are the numbers of persons checked annually in the N.V. field, in the following categories:-

- (a) Staff of the Department (including industrial Civil Servants)

350/400 approx.

- (b) Contractors' employees²

N.A.

- (c) Consultants.

N.A.

² Note Where the checks in this category are carried out by direct arrangement between the firm and the Security Service no entry should be made here.

SECRET

The possible extension of criminal record checks in the normal vetting field

5. To what categories in the N.V. field should criminal record checks be extended, and how many additional checks would be required annually to cover them:-

<u>Description of category</u>	<u>Annual number of checks required</u>
None	Nil

6. What additional staff would be required:-

- (i) Grade N.A.
- (ii) Number N.A.

SECRET

The possible reduction of criminal record checks in the normal vetting field

7. In respect of what categories in the N.V. field, do you think that a criminal record check might be dispensed with, and what would be the reduction in the annual number of checks:-

<u>Description of category</u>	<u>Annual number of checks required</u>
None	Nil

8. What staff could be saved if checks were so reduced:-

- (i) Grade N.A.
- (ii) Number N.A.

D.D.G.

D.B.

✓ D.E/A

D.O.S.

(Separate copies)

1a

I attach herewith a copy of the new security questionnaire, and suggest that we might discuss it at the staff meeting tomorrow afternoon.

D.C.
12.3.52.

R. H. HOLLIS
R.H.Hollie.

This document must be treated as CONFIDENTIAL at all stages

SECURITY QUESTIONNAIRE

Your (prospective) employment puts you in touch with information of outstanding importance from the point of view of security and the Government have decided that special enquiries must be made about the reliability of those in such employment. In order that these enquiries may be made you are asked to complete this questionnaire in ink or typescript. The enquiries which will be made will not necessarily be confined to the former or present employers and character referees named in your answers to questions 11 and 12. Anyone considered unfit, including a member of the Communist Party or a Fascist organisation or anyone associated with these bodies in such a way as to raise legitimate doubts about his reliability, will be barred from such employment.

- 1. SURNAME (Block letters) 2. FULL CHRISTIAN NAMES
3. SURNAME AT BIRTH (if different) 4. DATE AND PLACE OF BIRTH
5. NATIONALITY AT BIRTH 6. NATIONALITY AT PRESENT (if different)

7. FULL NAMES OF : Present Address Place of birth and Nationality at birth.
Father
Mother (maiden name)
Husband
Wife (maiden name)
Handwritten note: we also have Occupation of employer (if any) for all these

No

8. (a) If you or your parents are naturalised, state number, date and name in which certificate was granted.

(b) If you are not of British nationality—

(i) do you propose to apply for naturalisation ?.....

(ii) what is your aliens registration number ?.....

9. FULL PERMANENT (home) ADDRESS (including County) and addresses during last 5 years with dates.

10. PRESENT (Temporary) ADDRESS if different from address given in 9.

we only have
Home add: +
Present (if different).

TELEPHONE No. (if any)

Note : Any future change of address should be notified at once to your establishment officer.

11. Give full particulars of all occupations (including occupation in a Government Department) you have had during the last five years.

1 10 years here for women.
2 All previous occupations for men.

12. CHARACTER REFEREES

Give the names, occupations and present addresses (in full) of two British subjects domiciled in the United Kingdom well acquainted with you in private life. These should not be relatives.

(a)

(b)

We have None of these Questions

3

13. Have you ever been convicted of any offence?

(Answer "Yes" or "No")

If the answer is "Yes" give the particulars.

14. (i) Are you a member of the Communist Party in the United Kingdom or in any other country?

(Answer "Yes" or "No")

(ii) If the answer to (i) is "No", have you ever been a member of the Communist Party in the United Kingdom or in any other country?

(Answer "Yes" or "No")

If the answer is "Yes", state dates of membership and the circumstances in which you joined and left.

(iii) Do you belong, or have you ever belonged, to any body associated with, or which you suppose to be connected with or in sympathy with the Communist movement?

(Answer "Yes" or "No")

N.B. In answering question (iii) you should take into account not merely your own belief but also the sort of opinion which is generally held of the body in question, even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

No

15. (i) Are you now a member of any Fascist organisation in the United Kingdom or in any other country ?

(Answer "Yes" or "No")

(ii) If the answer to (i) is "No", have you ever been a member of any Fascist organisation in the United Kingdom or any other country ?

(Answer "Yes" or "No")

(iii) Do you belong, or have you ever belonged, to any body associated with or which you suppose to be connected with or in sympathy with any Fascist movement ?

(Answer "Yes" or "No.")

N.B. Under this heading you should list any bodies generally held to be connected with, or in sympathy with, any Fascist Movement even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of any such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

16. FOREIGN TRAVEL

State countries you have visited outside the United Kingdom since 1945 (excluding military or government service).

Country

Reasons for Visit

Dates

10

17. FOREIGN RESIDENCE

If at any time you have resided outside the United Kingdom for more than 6 months (excluding military or government service) state :—

Address

Reasons for Residence

Date(s) of taking up residence in the United Kingdom.

3 months here

CERTIFICATE

I certify that the foregoing information is correct and complete to the best of my knowledge and belief. I am not aware of any circumstances which might cause my fitness for employment to be questioned. I understand that any false statement or omission may render me liable to disqualification or to disciplinary action, which may include dismissal.

Date.....

Signature.....

INTRODUCED BY

CONFIDENTIAL

PERSONAL PARTICULARS.

All particulars asked for must be given. The information supplied will be regarded as strictly confidential.

- 1. Surname, Present :..... At Birth :.....
Christian Names in full :.....
- 2. Date of Birth :..... Place of Birth :.....
- 3. National Registration or Service Identify No. : } Rank or Title :.....
- 4. Nationality, Present :..... At Birth :.....
- 5. Status :
Single Married Widower Divorced Separated No. of Children
- 6. Religion :.....
- 7. Home Address :.....
Tel. No.....
Present Address :.....
(If different)
Tel. No.....

If answer to 5 above is not "Single," please complete 8—11 in respect of your WIFE :

- 8. Surname (Maiden) :..... Christian Names :.....
- 9. Nationality, Present :..... At Birth :.....
- 10. Address :.....
- 11. Occupation and Employer (if any) :.....

To be completed in respect of FATHER :

- 12. Surname :..... Christian Names :.....
- 13. Nationality, Present :..... At Birth :.....
- 14. Address :.....
- 15. Occupation and Employer (if any) :.....

To be completed in respect of MOTHER :

- 16. Surname (Maiden) :..... Christian Names :.....
- 17. Nationality, Present :..... At Birth :.....
- 18. Address :.....
- 19. Occupation and Employer (if any) :.....

20. Full name and particulars of any foreign relatives and relatives married to foreigners :

.....

.....

.....

.....

.....

21. State below particulars of Schools or Colleges attended from the age of 15 years upwards :

NAME AND ADDRESS	DATE		CERTIFICATES, DEGREES OR DIPLOMAS OBTAINED
	FROM	TO	
.....			
.....			
.....			
.....			
.....			
.....			
.....			

22. Give below particulars of all previous occupations or employment, official or otherwise, since leaving School or College :

PERIOD		NAME AND ADDRESS OF EMPLOYER OR DESCRIPTION OF OFFICIAL EMPLOYMENT	GRADE, RANK OR POST IN WHICH EMPLOYED	ANNUAL SALARY AND ALLOWANCES	REASON FOR RELINQUISHING EMPLOYMENT OR APPOINTMENT
FROM	TO				

(Continue on separate sheet if necessary)

May reference be made to previous employers? Yes No

23. British or Foreign Decorations received :.....

24. Amount, source and basis of award of any Official Pension :

25. Do you hold an Active or Reserve Commission in any of the Services? If so, give details :

26. Are you a serving or reserve member of any of the Services? If so, give details :

27. Give below particulars of Foreign Languages you speak, read or write, stating Well, Fairly or Slightly.

LANGUAGE	SPEAK	READ	WRITE
.....			
.....			
.....			
.....			
.....			

28. Have you lived abroad for more than three months consecutively? If so, give particulars below :

COUNTRY AND TOWN	DATES		REASON FOR RESIDENCE ABROAD
	FROM	TO	
.....			
.....			
.....			
.....			
.....			

29. With what Social, Political or Church, Leagues, Clubs, Societies or other organisations are you or have you been connected?

30. (a) Do you suffer from any serious injury or chronic illness? If so, give particulars:

.....
.....

(b) Have you at any time been examined by a Medical Board? If so, state year, and category in which you were placed:

.....
.....

31. Any other particulars you wish to record to support your Application:

.....
.....
.....
.....
.....
.....

32. Give the names and addresses of two responsible British subjects, not your relatives, to whom reference can be made:

(1) (2)
.....
.....

Acquaintance dating from Year..... Acquaintance dating from Year.....

33. Are you acquainted with any members of our Staff, past or present? If so, give names:

.....
.....

34. When would you be free to take up new employment?

.....

35. I hereby declare that the above statements are complete and correct to the best of my knowledge and belief.

Date..... Signature.....

FOR OFFICIAL USE.

Please return to :—MISS C. S. WELDSMITH, M.B.E., Room 055, War Office, Whitehall, S.W.1.

INTRODUCED BY

CONFIDENTIAL

WOMEN STAFF.

PERSONAL PARTICULARS.

All particulars asked for must be given. The information supplied will be regarded as strictly confidential. Please put surnames in block capitals.

1. Surname, Present :..... At Birth :.....
Christian Names in full :.....
2. Date of Birth :..... Place of Birth :.....
3. National Registration No.....
4. Nationality, Present :..... At Birth :.....
5. Status :
Single Married Widowed Divorced Separated No. of children
6. Religion :.....
7. Home Address :.....
Tel. No.....
- Present Address :.....
(If different)
Tel. No.....

If answer to 5 above is not "Single," please complete 8—11 in respect of your HUSBAND :

8. Full Name:.....
9. Nationality, Present :..... At Birth :.....
10. Address :.....
11. Occupation and Employer (if any):.....

To be completed in respect of FATHER :

12. Full Name :.....
13. Nationality, Present :..... At Birth :.....
14. Address :.....
15. Occupation and Employer (if any) :.....

To be completed in respect of MOTHER :

16. Full Maiden Name :.....
17. Nationality, Present :..... At Birth :.....
18. Address :.....
19. Occupation and Employer (if any) :.....

[P.T.O.]

N.B.—If either parent has married again please give full particulars, and in the case of a step-mother her maiden name.

23. May we refer to previous employers? Yes No

24. Do you Type?..... At what speed:.....

Do you write Shorthand?..... Speed of taking Dictation:.....

25. Give below particulars of Foreign Languages you speak, read or write, stating Well, Fairly or Slightly.

LANGUAGE	SPEAK	READ	WRITE
.....			
.....			
.....			
.....			
.....			
.....			
.....			
.....			
.....			
.....			

26. Have you lived abroad for more than three months consecutively? If so, give particulars below:

COUNTRY AND TOWN	DATES		REASON FOR RESIDENCE ABROAD
	FROM	TO	
.....			
.....			
.....			
.....			
.....			
.....			
.....			
.....			
.....			
.....			

27. With what Societies, Social or Political Leagues, Clubs, Churches, or other organisations are you or have you been connected?

.....

28. Full Names and addresses of two responsible British subjects in the U.K., not your relatives, nor Headmistress, to whom reference can be made:

(1) (2)

Acquaintance dating from Year..... Acquaintance dating from Year.....

29. Do you suffer from any serious injury or chronic illness? If so, give particulars:

30. Any other particulars you wish to record to support your Application:

.....
.....
.....
.....
.....
.....

31. Are you acquainted with any members of our Staff, past or present? If so, give names:

.....
.....
.....
.....

32. I hereby declare that the above statements are complete and correct to the best of my knowledge and belief.

Date..... Signature.....

FOR OFFICIAL USE.

Copy for S.F.

la

E.G. 160/01
E.C. No. 21/52



TREASURY CHAMBERS,
GREAT GEORGE STREET. S.W.1.
11th March, 1952

Establishments Circular No. 21/52

Sir,

SECURITY

1. I am directed by the Lords Commissioners of Her Majesty's Treasury to refer to the recent announcement (copy attached) that the Government have decided to introduce a new security procedure for ensuring the reliability of staff employed on exceptionally secret work, especially work involving access to secret information about atomic energy.
2. This circular sets out the instructions for carrying out the new procedure which, it will be seen, is confined to the process of checking the reliability of such staff. No changes are proposed in the existing arrangements for dealing with staff believed to be unreliable.
3. You should at once decide which posts in your Department (industrial or non-industrial) should be subject to the new procedure. All posts giving access to classified information about atomic energy should be put in this category. Other posts to be dealt with in this way are those which give the holder secret information of exceptional importance. This definition is to be construed narrowly and it is not thought that outside the posts involving access to classified information about atomic energy more than 3,000 posts should be put in this category. You should report to the Treasury (Mr. P. S. Ross) the number of posts, divided as between industrial and non-industrial, which you propose to treat in this way so that this limit may not be exceeded. You should also report any substantial additions which you may wish to make subsequently.
4. No-one should be appointed to any post in your Department which you have decided to include in this category until he has been made the subject of the enquiries envisaged in the Government's statement and all existing holders of such posts should be dealt with in the same way.

5. The basis of these enquiries should be the completion by the person intended for or holding the post concerned of the questionnaire attached to this circular. This questionnaire must be treated as a confidential document at all stages. In addition such further enquiries should be made as you may think necessary in order to satisfy yourself that the person concerned ought to be entrusted with secret information of such importance. The decision to make enquiries should not normally be made at a level below Assistant Secretary. The actual enquiries should be undertaken under the general direction of the Head of the Department by a person chosen by him for this purpose.

6. If the information obtained as a result of these enquiries leads you to conclude that the person concerned ought not to be given access to such information, you should submit the case to the Minister in charge of your Department for a ruling. If the Minister decides that the person comes within the scope of the statement made in Parliament on 15th March, 1948, further action should be taken in accordance with the procedure already agreed for dealing with cases of this nature. A statement of this procedure is attached for reference.

Further copies of the questionnaire may be obtained from Her Majesty's Stationery Office.

I am,
Your obedient servant,

A. H. CLOUGH

COMMUNISTS AND FASCISTS IN THE CIVIL SERVICE

Statement of procedure to be followed when individuals are believed to be within the scope of the Prime Minister's statement of 15th March, 1948

1. The Minister* will have before him information on which to decide whether the Civil Servant is prima facie to be regarded as coming within the scope of the statement of 15th March, 1948. A Civil Servant will be so regarded if -

(a) he is employed or is intended to be employed in connection with work the nature of which is vital to the security of the State; and simultaneously,

(b) he is believed to be -

(i) either a member of the Communist Party or of a Fascist organisation; or

(ii) associated with either the Communist Party or a Fascist organisation in such a way as to raise legitimate doubts about his reliability.

The same standards are to be applied to members and associates of the Communist Party and of Fascist organisations in deciding whether they come within the scope of the statement of 15th March. No statement of general application can be made as to what constitutes association under (ii) above. The mere fact that a person has, at some time in the past, been a member, will not in itself be considered as sufficient evidence. If the membership was fairly recent that would be a consideration to be taken into account, the best judgment being formed in the light of all the facts known, of which this would be one.

2. If the Minister rules that there is a prima facie case, the Civil Servant is at once to be so informed. He will also be told under which head - (i) or (ii) of the preceding paragraph - he is thought to come and will be given any other particulars, such as the date of his alleged membership or the nature of the alleged association, that might enable him to clear himself. But there will have to be limits to the information given for he cannot be given such particulars as might involve the disclosure of the sources of the evidence.

3. At the same time the Civil Servant will be asked to say whether he accepts or denies the allegation that he comes within the scope of the statement. If he accepts the allegation, he will be dealt with as described in paragraph 8 below. If he does not admit the allegation, he may, if he wishes, make written representations to the three advisers and may appear before them in person. He should have fourteen days in which to decide whether he wishes to appear and to put in his representations. At the same time as he is informed of the Minister's ruling he will normally be sent on special leave with pay, care being taken as far as possible not to disclose the reasons for his absence to his colleagues.

4. The Minister will reconsider his prima facie ruling in the light of any reply that may be made. If he decides that there is no reason for varying it and the Civil Servant has not admitted the allegation and has asked for a reference to the three advisers, the latter will be asked to consider the case as soon as possible.

*That is, the Minister responsible for the Department to which the Civil Servant belongs.

5. Their function is limited to advising the Minister on the question of fact: "Is the Civil Servant either -
 - (a) a member of the Communist Party or of a Fascist Organisation; or
 - (b) associated with either the Communist Party or a Fascist organisation in such a way as to raise legitimate doubts as to his reliability?"
6. In discharging this function the advisers will take into account the representations made by the Civil Servant. They will hear him in person, if he so wishes. He may also ask third parties to testify to them as to his record, reliability and character but he may not be accompanied and/or be represented by a third party before them. In the special circumstances of these cases the proceedings must be governed by the requirement that neither sources of evidence nor evidence which might involve the disclosure of sources can be given to the person concerned. The advisers will therefore count it as an important part of their functions to see that anyone appearing before them can make his points effectively and will adapt their procedure in such a way as to give him the best possible opportunity of bringing out the points which he wishes to bring to their notice.
7. On receiving the report of the three advisers, the Minister will reconsider his prima facie ruling and if he decides to uphold it, he will give the Civil Servant an opportunity of making representations to himself or his representative before action is finally taken. Similar opportunity will be given when the Civil Servant does not wish his case to go to the advisers.
8. A Civil Servant finally considered as within the scope of the statement of 15th March will be posted to or retained in a non-secret branch within his own Department or, if this is not practicable, will be posted to a non-secret branch in another Department. If he belongs to a category which it is impossible to employ in any other than a secret branch or if his qualifications or experience are such that no alternative employment elsewhere in the Government Service can be found, he will have to be dismissed unless he accepts the option, which should always be afforded in such cases, of resigning. Dismissal or resignation will involve forfeiture of any rights under the Superannuation Acts.
9. Before a decision to re-post, or in the last resort, to dismiss (with resignation as the alternative), is made effective, the Civil Servant's staff association should be afforded an opportunity of suggesting any alternative re-posting that it may think more suitable, or of suggesting a possible re-posting as an alternative to dismissal or resignation.

<p>This document must be treated as CONFIDENTIAL at all stages</p>
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SECURITY QUESTIONNAIRE

Your (prospective) employment puts you in touch with information of outstanding importance from the point of view of security and the Government have decided that special enquiries must be made about the reliability of those in such employment. In order that these enquiries may be made you are asked to complete this questionnaire in ink or typescript. The enquiries which will be made will not necessarily be confined to the former or present employers and character referees named in your answers to questions 11 and 12. Anyone considered unfit, including a member of the Communist Party or a Fascist organisation or anyone associated with these bodies in such a way as to raise legitimate doubts about his reliability, will be barred from such employment.

1. SURNAME (Block letters)

2. FULL CHRISTIAN NAMES

3. SURNAME AT BIRTH
(if different)

4. DATE AND PLACE OF BIRTH

5. NATIONALITY AT BIRTH

6. NATIONALITY AT PRESENT
(if different)

7. FULL NAMES OF :

Present Address

Place of birth and
Nationality at birth.

Father

.....

.....

.....

Mother
(maiden
name)

.....

.....

Husband

.....

.....

.....

Wife
(maiden
name)

.....

.....

.....

8. (a) If you or your parents are naturalised, state number, date and name in which certificate was granted.

(b) If you are not of British nationality—

(i) do you propose to apply for naturalisation ?.....

(ii) what is your aliens registration number ?.....

9. FULL PERMANENT (home) ADDRESS (including County) and addresses during last 5 years with dates.

10. PRESENT (Temporary) ADDRESS if different from address given in 9.

TELEPHONE No. (if any)

Note : Any future change of address should be notified at once to your establishment officer.

11. Give full particulars of all occupations (including occupation in a Government Department) you have had during the last five years.

12. CHARACTER REFEREES

Give the names, occupations and present addresses (in full) of two British subjects domiciled in the United Kingdom well acquainted with you in private life. These should not be relatives.

(a)

(b)

13. Have you ever been convicted of any offence?

.....
(Answer "Yes" or "No")

If the answer is "Yes" give the particulars.

14. (i) Are you a member of the Communist Party in the United Kingdom or in any other country?

.....
(Answer "Yes" or "No")

(ii) If the answer to (i) is "No", have you ever been a member of the Communist Party in the United Kingdom or in any other country?

.....
(Answer "Yes" or "No")

If the answer is "Yes", state dates of membership and the circumstances in which you joined and left.

(iii) Do you belong, or have you ever belonged, to any body associated with, or which you suppose to be connected with or in sympathy with the Communist movement?

.....
(Answer "Yes" or "No")

N.B. In answering question (iii) you should take into account not merely your own belief but also the sort of opinion which is generally held of the body in question, even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

15. (i) Are you now a member of any Fascist organisation in the United Kingdom or in any other country ?

.....
(Answer "Yes" or "No")

- (ii) If the answer to (i) is "No", have you ever been a member of any Fascist organisation in the United Kingdom or any other country ?

.....
(Answer "Yes" or "No")

- (iii) Do you belong, or have you ever belonged, to any body associated with or which you suppose to be connected with or in sympathy with any Fascist movement ?

.....
(Answer "Yes" or "No.")

N.B. Under this heading you should list any bodies generally held to be connected with, or in sympathy with, any Fascist Movement even if you do not endorse that opinion. An explanation on a separate sheet may be attached if you wish to explain the circumstances, including dates, of your membership of any such body. Such membership will not necessarily disqualify you from appointment, but it is Government policy that no one may be employed on secret work if he is judged unreliable.

16. FOREIGN TRAVEL

State countries you have visited outside the United Kingdom since 1945 (excluding military or government service).

Country

Reasons for Visit

Dates

17. FOREIGN RESIDENCE

If at any time you have resided outside the United Kingdom for more than 6 months (excluding military or government service) state :—

Address

Reasons for Residence

Date(s) of taking up residence in the United Kingdom.

CERTIFICATE

I certify that the foregoing information is correct and complete to the best of my knowledge and belief. I am not aware of any circumstances which might cause my fitness for employment to be questioned. I understand that any false statement or omission may render me liable to disqualification or to disciplinary action, which may include dismissal.

Date.....

Signature.....

PRESS STATEMENT

His Majesty's Government have been considering the procedure for ensuring the reliability of Government staff employed on exceptionally secret work, especially work involving access to secret information about atomic energy.

They have decided that special enquiries should be made about those holding or applying for such posts. Further particulars will be sought from them and from other persons so that the Minister concerned may judge whether they are fit to be entrusted with such information. Any considered to be unfit, including members of the Communist Party or of a Fascist organisation or those associated with such bodies in such a way as to raise legitimate doubts about their reliability, will be barred from such employment. The safeguards laid down by the previous Government for any persons removed from secret work in the Civil Service on account of such associations will be maintained, the staff being transferred to other work in all cases possible.

Details of the proposed procedure are being discussed with the Staff interests concerned.

(Released to Press 8th January, 1952.)

lx.

THE ORIGINAL DOCUMENT
RETAINED IN DEPARTMENT
UNDER SECTION 3(4) OF
THE PUBLIC RECORDS
ACT 1958

