

18155



Financial Questionnaire

For Official Use Only

Form boxes for official use only

READ THESE INSTRUCTIONS BEFORE COMPLETING THE QUESTIONNAIRE

The statement on Page 2 outlines the requirement for you to provide personal information about yourself, your partner (if applicable) and your family, and for investigations to be made to verify these details against national criminal and security records.

PLEASE READ THE STATEMENT BEFORE FILLING IN THIS QUESTIONNAIRE.

You are being asked to provide a clear, complete and accurate picture of your current and recent financial situation. This must reflect the situation of anyone who shares financial responsibility with you.

In order to fill in this form, you will need to look at your financial papers (such as bank and credit card statements, payslips and mortgage details), which you may be required to produce as part of the vetting process.

How to complete this form

The information you provide will be scanned electronically so please ensure you only write inside the white boxed areas. Do not mark or strike through any other areas of the form. If completing by hand please write in BLACK INK using BLOCK LETTERS.

Surname (now): [Form boxes]

Ensure you answer ALL the questions. You can use the abbreviation NA (Not Applicable). NA - If a question does not apply to you, write NA in the first two boxes only of the relevant question. Not Known - If you do not know the answer, or you cannot provide the information needed, write NK in the first two boxes only of the relevant question.

1. Your Details

a. Surname, b. Title, c. Full Forename(s), d. Date of Birth, e. Staff or Service Number, f. National Insurance Number, g. Please specify your employment type: RN, Army, RAF, MOD Civilian, Other Civil Servant, Police Officer / Civilian Staff, Civil Nuclear Employee, Civil Nuclear Contractor, Other Contractor, Other

Form boxes at bottom right



18155

STATEMENT OF HMG PERSONNEL SECURITY AND NATIONAL SECURITY VETTING POLICY

Minimum Personnel Security Controls

1. It is HM Government's policy that all areas of government and the national infrastructure should include in their recruitment processes certain basic checks. These checks include verification of the applicant's identity, employment history, their right to work in the UK and, if appropriate, checks of any unspent criminal records. Within government these controls are described in the Baseline Personnel Security Standard. In addition, the Centre for the Protection of National Infrastructure (CPNI) produces a range of relevant guidance on personnel security and makes similar advice available to the wider national infrastructure.

National Security Vetting

2. National security vetting comprises a range of additional checks and may be applied where a risk assessment indicates it is proportionate to do so. The risk assessment process takes account of the access an individual may have to sensitive assets (physical, personnel or information) at risk from a wide range of threats. These threats include: terrorism, espionage, or other actions that could threaten the United Kingdom. The requirements of international agreements concerning the protection of allies' information may also inform such assessments.
3. It is government policy that individuals should not be expected to hold an existing security clearance in order to apply for posts that require vetting, except where such posts are short term and need to be filled urgently.
4. There are three different types of national security vetting clearance: Counter Terrorist Check (CTC), Security Check (SC) and Developed Vetting (DV). Before any such clearance is undertaken the requirements of the Baseline Personnel Security Standard must be met. Whilst the information required and the range and depth of checks undertaken at each level may vary, they are all intended to allow Government departments and agencies, the Armed Forces and police forces to assess whether individuals who are to be employed in sensitive posts or critical functions might represent a security risk either directly or indirectly.

Checks

5. Individuals subject to national security vetting (including UK nationals taking up sensitive posts in international organisations) will be asked to provide via questionnaire personal information about themselves, partners, family members and other associates. It may be checked, and retained for future checks, against:
- Relevant personnel records held by the employing department or company
 - Criminal records (both spent and unspent as defined by the Rehabilitation of Offenders Act 1974)
 - Information held by the Security Service.
 - Credit reference agency records
6. The process may also take account of:
- Financial circumstances generally
 - Third party character references
 - Any medical considerations that could give rise to security concerns
7. Interviews with the vetting subject and referees may be carried out to establish good character and to verify information that has been provided.

Decision Making

8. National security vetting decisions may only be taken by Government departments, agencies, the Armed Forces or police forces. All the available information is taken into account to reach a reasoned decision on an individual's suitability to hold a security clearance.
9. Security clearances may be refused or withdrawn where:
- There are security concerns related to an individual's involvement or connection with activities, organisations or individuals associated with the threats described in this Statement (or any similar new threats that emerge);
 - Personal circumstances, current or past conduct indicate that an individual may be susceptible to pressure or improper influence;
 - Instances of dishonesty or lack of integrity cast doubt upon an individual's reliability;
 - Other behaviours or circumstances indicate unreliability.
10. Wherever possible existing employees will have an opportunity to discuss, comment on and challenge any adverse information that arises. However in certain circumstances it may not be possible to share such information as this could compromise national security, the public interest or third party confidentiality.

Avenues of Appeal

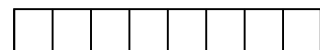
11. Existing employees who are subject to national security vetting and either refused a security clearance or whose clearance is withdrawn may appeal against such decisions. All departments and agencies that carry out national security vetting must provide for an internal appeal process. Where individuals remain dissatisfied they may appeal to the Security Vetting Appeals Panel, an independent body.
12. The Panel will consider the case, review the information and invite the appellant and the organisation to make representations. The Panel will make recommendations to the Head of Department or organisation in the light of its findings as to whether the decision should stand or be reviewed. The Panel may also comment on the security vetting procedures and adequacy of the internal appeal arrangements.
13. There are no national security vetting appeal routes for applicants for employment who are refused a security clearance. Separate arrangements exist for applicants, employees and contractors of the security and intelligence agencies, who may complain to the Investigatory Powers Tribunal. Any individual may apply to an Employment Tribunal if they feel that they have been discriminated against in any part of the recruitment process.

Ongoing Personnel Security Management

14. The national security vetting process provides an assessment of the vetting subject at the time the process is carried out but active ongoing personnel security management is required to ensure that a security clearance maintains its currency. As a minimum this will involve active consideration of the vetting subject's continuing conduct in respect of security matters; it will also require checks to be repeated at regular intervals.

Please note that any information provided will be treated in strict confidence. In cases where a potential risk is identified, and a decision taken to 'manage the situation' rather than refuse security clearance, those tasked with managing that risk will need the appropriate information in order to do this effectively.

Failure to disclose relevant circumstances or information is likely in itself to be regarded as evidence of unreliability and will be taken into account when assessing your suitability for security clearance. It is therefore in your own interests to be honest and open in the information you provide in this questionnaire.





18155

2. Your Properties

a. How many properties do you own, or partly own, in the UK or overseas?

b. Details of your properties:

Property 1

Address Line 1:

Address Line 2:

Town:

County/Region: Postcode:

Country:

Date of Purchase / / Purchase price £
Day Month Year

Mortgaged? Yes No Current market valuation £

What type of mortgage? Repayment Interest Only Flexible Other Term of mortgage (in months):

Property 2

Address Line 1:

Address Line 2:

Town:

County/Region: Postcode:

Country:

Date of Purchase / / Purchase price £
Day Month Year

Mortgaged? Yes No Current market valuation £

What type of mortgage? Repayment Interest Only Flexible Other Term of mortgage (in months):

If you own more than 2 properties, please provide details on the continuation pages.

c. Total of property market valuations, including those on continuation pages (if any)

£

3. Savings and Other Assets

a. How much do you (and your partner) have in savings accounts, premium bonds and invested in shares, funds, etc.?

£

Description of savings/investments:

b. Do you save:

Regularly? Occasionally? Hardly ever?

c. What is the valuation of your (and your partner's) vehicles?

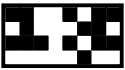
£

Description of vehicles:

d. What is the valuation of your (and your partner's) other assets, e.g. jewellery, antiques, timeshares?

£

Description of other assets:



18155

e. Have you ever received a lump sum worth more than £5,000? (e.g. redundancy, pension commutation, inheritance, gift, winnings) Yes No

Details:

TOTAL OF ALL ASSETS (add Total from c in Section 2 and amounts from a, c and d given in this section) £

4. Mortgages

a. How many mortgages and secured loans are linked to your properties?

b. Mortgage / loan lenders of property 1:

1st. 2nd.

Date of 1st mortgage / loan: / Initial amount: £ Balance outstanding: £

Date of 2nd mortgage / loan: / Initial amount: £ Balance outstanding: £

c. Mortgage / loan lenders of property 2:

1st. 2nd.

Date of 1st mortgage / loan: / Initial amount: £ Balance outstanding: £

Date of 2nd mortgage / loan: / Initial amount: £ Balance outstanding: £

d. Do you have any other mortgages or secured loans in addition to those declared above? If 'yes', please give details on the continuation pages. Yes No

e. Total of mortgage / loan balances outstanding (including any listed on the continuation pages): £

f. Have you ever taken a further mortgage advance(s) for any purpose? Yes No

g. Have you ever adjusted the payment terms of your mortgages, e.g. payment holiday? Yes No

h. Have you ever remortgaged to consolidate your personal debts? Yes No

If you answer 'yes' to Question 4f, g or h, please give details on the continuation pages.

5. Loans

a. How many loan agreements (including student loans but not secured loans listed at Q4) are outstanding?

b. Please give details below. Use the continuation pages if necessary.

Lender 1: Purpose:

Amount: £ Date taken out: / Expiry Date: /

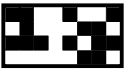
Repayment: £ Balance outstanding now: £

Lender 2: Purpose:

Amount: £ Date taken out: / Expiry Date: /

Repayment: £ Balance outstanding now: £

c. Total of loan balances outstanding (including any listed on the continuation pages) £



18155

e. Have you been the victim of "identity theft" or credit card fraud? If 'yes', please give details.

Yes No

Details:

[Empty text box for details]

9. Household Monthly Income

To enable us to assess the household income - please provide a clear picture of all sources of earned and unearned income.

a. Current annual salary (gross)

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

b. Usual annual bonus (gross)

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

c. Annual car allowance (gross)

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

d. Monthly net salary (including average bonus and any allowances)

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

e. Monthly income from state benefits (e.g. Child Benefit, Family Credit)

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

f. Monthly net income from pensions and annuities

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

g. Monthly net income from savings and investments averaged

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

h. Monthly income from rented properties

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

i. Monthly maintenance received

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

j. Total individual monthly incomes

£ [] [] [] [] [] [] [] [] [] []

£ [] [] [] [] [] [] [] [] [] []

k. Total joint monthly income

£ [] [] [] [] [] [] [] [] [] []

l. Has all income been declared for tax purposes (e.g. rental income)?

Yes No

If a fuller explanation of your income would be helpful to us, please provide the details below.

Details:

[Empty text box for details]

10. Accommodation Charges

a. Do you pay rent for any property?

Yes No

b. If 'yes', how much (per month)?

£ [] [] [] [] [] [] [] [] [] []

c. What other costs are you liable for (e.g. service charge, agent's fees, etc.)?

Details:

[Empty text box for details]

d. Do you share rent and utility costs with other tenants?

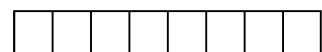
Yes No

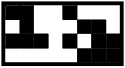
e. Do you receive accommodation free of charge? If 'yes', please give details below.

Yes No

Details:

[Empty text box for details]





18155

11. Household Monthly Outgoings

To enable us to assess the household outgoings, please provide an accurate account of all household expenditure.

MONTHLY COST

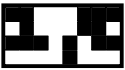
- a. Mortgage / Rent / Board / Lodging £
- b. Service charge / ground rent / management fees £
- c. Council Tax £
- d. Housekeeping (i.e. food and household necessities) £
- e. Motoring costs (including tax, insurance, petrol & maintenance) / commuting and travel costs £
- f. Utility bills (gas, electricity, oil, water bills, telephones and mobile phones) £
- g. Loan repayments £
- h. Sky / Cable / TV licence / Internet access £
- i. Maintenance payment for children £
- j. Nursery fees / school fees / parental contribution to student costs £
- k. Pensions / insurance (all - excluding car insurance) £
- l. Holidays (average per month of annual costs) £
- m. Entertainment (including sports and gym club memberships, trips out, etc.) £
- n. Other regular commitments (please detail below) £

Details:

Total of outgoings: £

12. Financial History / Arrangements

- | | | | Number of Times | Most Recent Year |
|--|------------------------------|-----------------------------|----------------------|----------------------|
| a. Have you and/or your partner in the last 10 years: | | | | |
| Had a credit or store card application declined? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | <input type="text"/> | <input type="text"/> |
| Had a personal loan application declined? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | <input type="text"/> | <input type="text"/> |
| Sought a reduction in monthly repayments with a lender? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | <input type="text"/> | <input type="text"/> |
| Ever consolidated debt onto a new financial arrangement? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | <input type="text"/> | <input type="text"/> |
| Had a default or termination notice issued to you by a bank or creditor? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | <input type="text"/> | <input type="text"/> |
| Had a credit or store card withdrawn? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | <input type="text"/> | <input type="text"/> |
| Consulted a debt management company or advisory service, e.g. CAB? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | <input type="text"/> | <input type="text"/> |
| Arranged a debt management plan (formal or informal)? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | <input type="text"/> | <input type="text"/> |



18155

	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Number of Times	Most Recent Year
Been subject to a county court judgement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Been subject to an attachment of earnings order?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Had repossession proceedings commenced against you?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Been investigated by HMRC or DWP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
b. Have you and/or your partner ever applied for an Individual Voluntary Arrangement (IVA), or (in Scotland only) a Protected Trust Deed, or a Debt Relief Order?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
c. Have you and/or your partner ever been declared bankrupt?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
d. Do you have any financial interests that may conflict with your duties as a Civil Servant, member of HM Forces, or as a Government contractor? (e.g. your partner runs a company, which tenders for contracts that you are responsible for placing)	<input type="checkbox"/>	<input type="checkbox"/>		
e. Are there any details or explanations that would help us to understand your financial position better?	<input type="checkbox"/>	<input type="checkbox"/>		

If you answered 'yes' to any question, please provide full details on the continuation pages.

13. Financial Obligations

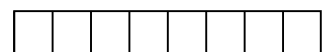
a. Do you have any form of financial obligation in excess of £1000 that has not been disclosed elsewhere on this form? If 'yes', please advise details on the continuation pages. Yes No

b. Have you ever lent or given anyone (including family members) more than £1000 ? If 'yes', please advise details on the continuation pages, including any plans for repayment. Yes No

c. If you answered 'yes' to Questions 8a and 8b - does the other person have debts in their sole name in excess of £5000, to your knowledge? If 'yes', please provide details below. Yes No

Details:

If you are a self-employed contractor, please go to Section 14. Otherwise, please go to the Declaration on Page 11.





18155

14. SELF-EMPLOYED CONTRACTORS - ADDITIONAL INFORMATION SHEET

Full Name:

[Grid for Full Name]

- a. Are you being employed through an agency for the contracted work?
b. Are you self employed and submit invoices in your personal/trading name?
c. Are your invoices submitted by a company, of which you are the primary director or shareholder?

d. If 'Yes', please provide the following information:

Company Name:

[Grid for Company Name]

Company Number:

[Grid for Company Number]

Accounting Date:

[Grid for Accounting Date: Day / Month / Year]

- e. Are your annual returns to Companies House up to date?
f. Are your annual accounts registered at Companies House up to date?
g. Are payments of VAT, tax and social security paid up to date, by their due date?

If you have answered 'No' to Q14e, f or g, please provide an explanation here

[Text box for explanation]

- h. Has a late filing penalty been imposed on the company at any time?
i. Have the directors been fined for non-filing of documents at any time?
j. Has the company been subject to a county court judgement?

If you have answered 'Yes' to Q14h, i or j, please provide an explanation here

[Text box for explanation]

- k. Have you ever been involved with a company that has undertaken a voluntary liquidation or creditors winding up?
l. Have you ever been disqualified from being a company director?
m. Has the company been investigated by HMRC or DWP?

If you have answered 'Yes' to Q14k, l or m, please provide an explanation here

[Text box for explanation]

DETAILS OF INCOME

n. Please provide details of your personal (and your partner's) income from the company, including the amount of any dividends received and frequency of payments, for the previous and current accounting periods.

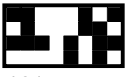
Details:

[Large text box for income details]

N.B. Copies of company accounts may be requested to support your description or provide clarity.

Now please complete the declaration on Page 11

[Grid for Page 9]

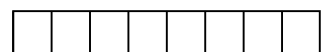


18155

Continuation of Answers

IMPORTANT: When providing additional information please write the Question Number against each answer and provide all the information requested in the original question.

**Question
Number**





18155

Declaration

I declare that I have read and understood the statement of HM Government's policy on vetting on page 2 of this questionnaire.

I understand that in accordance with this policy the personal information that I have provided on this form about myself, my partner (if applicable) and my family will be submitted for checking against national criminal and security records

I understand that a check against credit reference agency records and investigations into my financial circumstances will also be carried out. I understand, too, that the information provided may be subject to ongoing checks where they are necessary and proportionate.

I declare that the information I have given is true and complete to the best of my knowledge and belief, and I understand that any false statement or deliberate omission in the information I have given in this questionnaire may disqualify me from employment (including employment in connection with Crown contracts if applicable) or make me liable to disciplinary action, which may include dismissal.

I undertake to notify any material changes in the information I have given above (e.g. change of partner, address or financial circumstances), including any future criminal convictions, to the Personnel or Security branch concerned.

Important: Data Protection Act 1998. This questionnaire asks you to supply "personal" and "sensitive personal" data as defined by the Data Protection Act 1998. You will be supplying this data to the appropriate vetting authority where it will be processed exclusively for the purpose of security vetting, in accordance with HM Government's vetting policy, save that, in the highly unlikely event that data supplied by you discloses or suggests that:

- i. a criminal offence has occurred or is likely to occur or,
- ii. staff may be at risk of danger e.g. if you have been diagnosed with a serious mental condition as potentially endangering yourself or others

then the vetting authority may pass on that information alone to the appropriate person(s). Subject to this, the vetting authority will protect the information which you provide and will ensure that it is not passed to anyone who is not authorised to see it.

By signing the declaration on this page, you are explicitly consenting for the data you provide in this questionnaire to be processed in the manner described above.

If you have any concerns about any of the questions we ask, or what we will do with the information you provide, which are not answered by the guidance notes please contact the person who issued this form for further information.

Note: Please review the form **BEFORE SIGNING** to ensure that all questions have been fully answered.

Signed:		Date: <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> / <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> / <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>								
		Day Month Year								

