

SECRET

A BRIEF COMPARISON OF THE BASES OF
SECURITY SCREENING PROCEDURES IN THE
U.K., U.S.A. AND CANADA -

APPENDIX "D"

UNITED KINGDOM

(A) The employing Department is responsible for:

- 1) Initiating security screening on an applicant or employee who is to have access to classified information.
- 2) Determining whether or not the applicant or employee is to be employed on sensitive work following the results of security screening. The applicant has the right of appeal against being refused a security clearance but in every instance, the decision of the Department is final.

(B) The standards for a minimum security check:

- 1) A minimum security check applies to all persons employed in or by the Government on duties having actual access to information classified "Confidential" or higher.
- 2) A minimum security check is comprised of:
 - (a) A check of subversive records maintained by the Security Service.

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(A) With the exception of the [REDACTED], [REDACTED], the State Department, the military services and a few other agencies, the Civil Service Commission is responsible for:

- 1) Initiating security screening on all applicants for employment in the Federal Government.
- 2) Determining whether or not the applicant is to be employed in the Government Service following the results of security screening. The applicant has the right of appeal against being refused employment, but the decision of the Commission is final.

NOTE: The exceptions noted above are responsible for the same procedures, each within its own Department.

(B) The standards for a minimum security check:

- 1) A minimum security check is required on every person applying for employment in the Federal Government service.
- 2) A minimum security check is comprised of:

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(A) The employing Department is responsible for:

- 1) Requesting security screening on:
 - (a) All applicants for employment in the Federal Government service.
 - (b) All employees in the Federal Government service who are being considered for duties giving access to classified information.

2) Determining whether or not the applicant is to be employed in the Federal Government service and whether an employee is to be allowed access to classified information, following the results of security screening. There is no appeal from a Departmental decision.

(B) The standards for a minimum security check:

- 1) A minimum security check is carried out on:

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- (b) Letters of reference, and recommendations of former employers. These are taken up directly by the employing Department.
- (c) A field (character) investigation may be undertaken to supplement the minimum security check.
- 1) A character investigation is mandatory on:
 - (a) Employees who have regular and constant access to "Top Secret" defence information.
 - (b) Applicants or employees on whom a records check raises an unresolved doubt as to loyalty.
 - 2) A character investigation may be requested on:
 - (a) Persons on whom the Department considers an investigation necessary by reason of:
 - (i) Change in status
 - (ii) Up-dating clearance
 - (iii) Suspicion of unreliability, or
 - (iv) suspected disloyalty.
 - 3) The investigation is carried out by investigators of the employing Department, except in 1(b) and 2(a)(iv) above, when the enquiry is made by the

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- (a) In the U.S.A. a minimum check is comprised of:
- (i) Completion of a Personal History Form.
 - (ii) A check of the [REDACTED], the Civil Service Commission, the military services, the House Committee on Un-American Activities, and in some cases, the State Department and the Immigration and Naturalization Service.
 - (iii) A check of the [REDACTED] files [REDACTED]
 - (iv) Written enquiries to employers and supervisors, educational institutions of college or university level, law enforcement agencies at places of employment, education and residence, and to three references given by the applicant.
- (c) A field (character) investigation may be undertaken to supplement the minimum security check.
- 1) The decision as to when a character investigation is to be carried out is the responsibility of the employing Department.
 - 2) A limited field investigation is conducted if the minimum security check reveals an adverse trace.

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- (a) All applicants for Federal Government service.
- (b) All employees being considered for access to classified information.
- 2) A minimum security check is comprised of:
- (a) Completion of a Personal History Form.
 - (b) A check of subversive records maintained by the R.C.M.P.
 - (c) A check of the central fingerprint files maintained by the R.C.M.P.
- (c) A field (character) investigation may be undertaken to supplement the minimum security check:
- 1) (a) A field investigation is mandatory on all persons having access to "Top Secret" information.
 - 1)(b) The employing Department may request a field investigation to satisfy itself as to an applicant's

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D) Security Screening Reports:

- 1) Character investigation reports are the property of the employing Department.
- 2) The Security Service provides the Department with a factual summary of the results of a records check, if adverse information is obtained, together with a recommendation for or against employment.

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If the adverse trace relates to dis-loyalty, the investigation is passed to the [REDACTED] for completion.

- 3) The Civil Service Commission carries out character enquiries for all Departments except the [REDACTED], the State Department, the military services and a few other agencies. Each of the exceptions conducts its own enquiries, with investigators of the military services also handling [REDACTED]. If a subversive trace is developed during any character investigation, the case is handed to [REDACTED] for completion.

(D) Security Screening Reports:

- 1) All field investigation reports become the property of the employing Department, with the exception of [REDACTED] reports which are only loaned to the Department concerned.

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or employee's loyalty, integrity or discretion, when the applicant or employee is being considered for access to "Secret" information.

- 1)(c) A limited field investigation may be undertaken by the R.C.M.P. to clarify an adverse subversive trace.

All field investigations are carried out by the R.C.M.P., with the exception of those for the Army and Air Force, each of which maintains its own investigators.

(D) Security Screening Reports:

- 1) Except for enquiries conducted by the Army and Air Force, all field investigation reports are the property of the R.C.M.P.

- 2) The R.C.M.P. provides the employing Department with a factual, evaluated summary of all adverse information disclosed through a records check or field investigation. In addition, vulnerable Departments are provided with an evaluated summary of all available favourable information. The R.C.M.P. makes no recommendation on information it provides.

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