

US/UK DEFENCE TRADE COOPERATION TREATY



UK APPROVED COMMUNITY: APPLICATION AND MANAGEMENT PROCESSES

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UK APPROVED COMMUNITY: APPLICATION AND MANAGEMENT

- **Background**
- **Applications**
- **NSV action**
- **External Agency checks**
- **Facility Security Clearance**
- **Approval**
- **Assurance**
- **Investigations**
- **Advice and guidance**
- **Training**
- **Database**



Background

- The UK Approved Community is a list of cleared Facilities, not Companies.
- Three stage process:
 - UK due diligence checks using List X protocols
 - US checks
 - Facility Security Clearance
- UK Government process set out in the Security Policy Framework
- List X and the DTCT are not synonymous. Membership of one does not confer automatic membership of the other.



APPLICATIONS AND NSV INITIATION

- Applications for UK AC membership will be processed by the DE&S PSyA Team.
- Immediately following initial application we will seek personal details including nationality and security clearance status of company Board Members and key personnel responsible for management of the Facility.
 - We will initiate NSV clearance action as necessary
- Applicants will be required to complete a detailed application form providing essential personnel and facility information.
- *We cannot start the due diligence process until this information is provided, signed at the required level.*



EXTERNAL AGENCY CHECKS

- We will then conduct a number of checks with external agencies:
 - Companies House
 - Security Service
 - Department for Business and Innovation Services
 - HM Revenue and Customs
- Applicant companies will be aware that these checks are being conducted and the nature of the information sought.
- On satisfactory completion of the UK checks the application will be forwarded to the USG for equivalent action.
- Following satisfactory response from the US, conditional membership will be awarded.



FACILITY SECURITY CLEARANCE

- Site visit by PSyA Field Force Team experienced in List X clearance processes.
- Checks will include:
 - Physical security
 - IS security (with additional accreditation visit by DSAS if necessary)
 - Management structures (including compartmentalisation where appropriate)
 - Security process review including clearances, nationality issues, security “culture”
- Either endorse arrangements as meeting requirements or provide list of recommendations for improvement
- Revisit if required then provide recommendation for clearance



APPROVAL

- Following completion of:
 - External Agency checks
 - Facility Security Clearance
 - NSV Action
 - Consultation with US counterparts

Facility will be formally added to Approved Community List.



SUPPORT SERVICES FOLLOWING APPROVED COMMUNITY CLEARANCE

- **ASSURANCE**
 - Combination of annual self assurance exercise and field force inspections
- **INVESTIGATION**
 - Investigation of loss or compromise of assets or information undertaken by PSyA staff in conjunction with Home Department police force as appropriate.
- **ADVICE AND GUIDANCE**
 - Approved Community Facilities will have full access to the information and support services provided to List X including access to the RESTRICTED internet site and the Security Advice Centre
- **TRAINING AND AWARENESS**
 - Approved Community Facilities will have full access to the training and awareness services provided to List X



DATABASE

- Database of UK Approved Community facilities will be maintained by PSyA staff
- Currently envisaged that it will be made available to US Agencies but will not be “open source”
- SAC will provide information relating to Approved Community on request.



FAQs

- Status of facilities outside UK working in support of operations
- Personnel Security Requirements
- How to find out who is in the UK Approved Community
- Status of US Nationals working for UK Subsidiary
- Status of offshore IT servers
- Support to Applicants to help them through the process
- List X / Approved Community relationship



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QUESTIONS?

