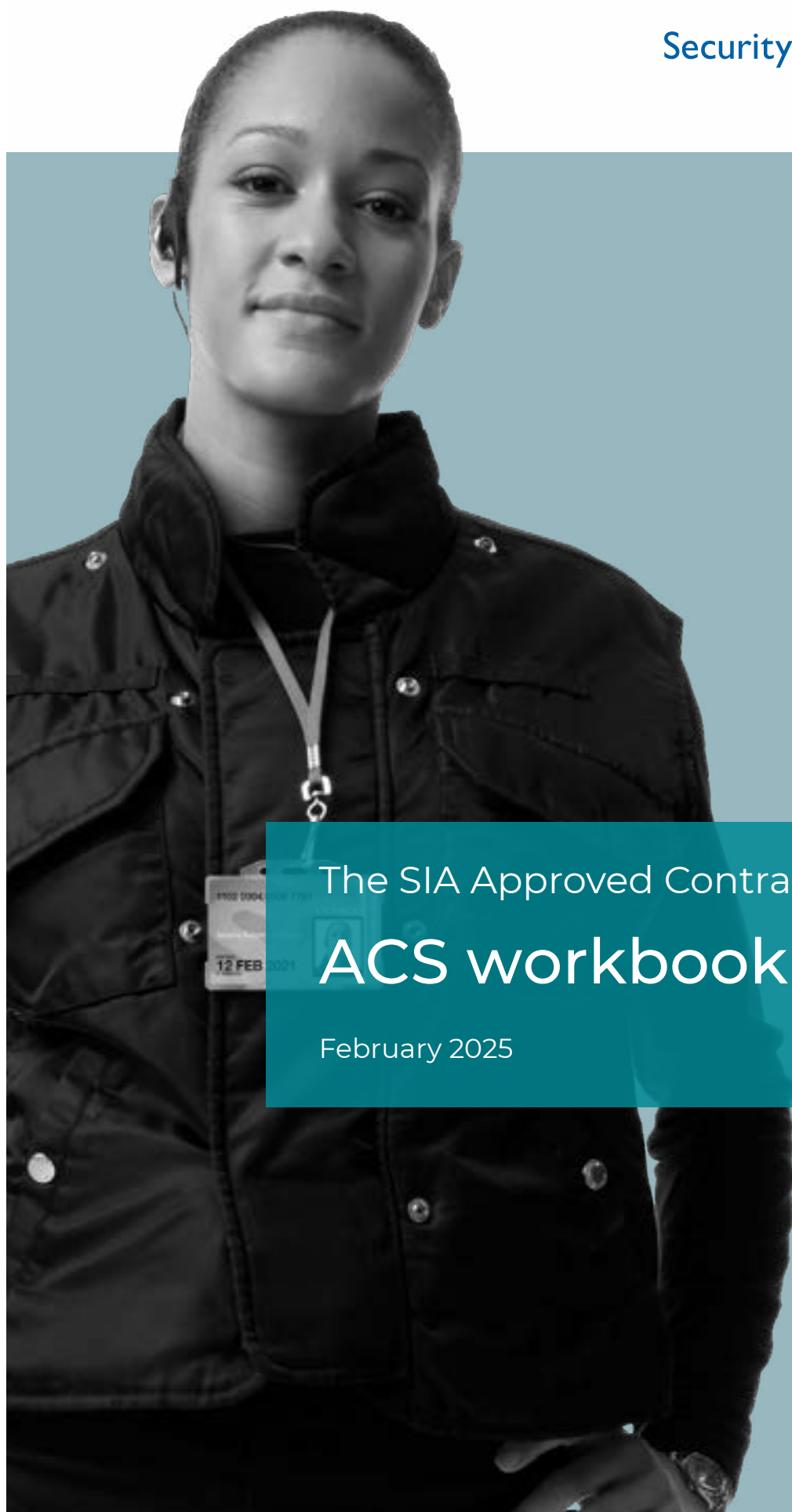Security Industry Authority

The SIA Approved Contractor Scheme

ACS workbook guide

February 2025

SIA APPROVED CONTRACTOR

Contents

About this guide

This guide has been created to help organisations complete the ACS self-assessment workbook by providing additional explanation as to the contents and requirements of the ACS standard.

It is not intended to replace the ACS self-assessment workbook but to be used in conjunction with it. It is not a definitive document. It is envisaged that this guide will be an 'evolving' document, updated as questions and further points of clarification are raised.

It is not obligatory or necessary for organisations to use this guide to complete their ACS self-assessment, however it will help.

The ACS workbook guide is divided into:

Section 2 – Criterion Specific Guidance, which provides guidance as to the requirements contained in the boxes for each indicator.

Section 3 – Glossary, which provides an explanation for the terms and words that appear in the Criteria.

Section 2.

This section provides guidance to help completion of the ACS self-assessment.

SIA

APPROVED CONTRACTOR

Criterion 1: **Strategy**

An SIA approved contractor has clear strategic direction enabling it to deliver value to all stakeholders.

Note:

Examples of the types of evidence you may consider sufficient to meet the ACS standard are given wherever possible. As verification visits are conducted additional examples will be added. This also applies to the examples of good practice contained in this section. Should you have difficulty in determining whether evidence presented meets the ACS standard you should contact us.

This criterion is composed of five sub-criteria

The SIA Approved Contractor can demonstrate that it:

1.1   has a coherent plan and approach to business;

1.2   has clear mechanisms for improving the standard of service delivery;

1.3   handles internal and external communications effectively;

1.4   actively manages the impact of its services on society and the environment;

1.5   measures and improves on performance against key indicators.

1.1.1

The organisation has a clear approach to business that is acted on and communicated to all staff

This indicator links to:

- 7.3.1 Leaders have developed a set of high values or code of ethics that are implemented throughout the organisation.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

An approved contractor should be clear about why it exists and what it stands for (its approach to business).

Some applicant organisations may meet this requirement with formal, documented mission and values statements but a less formal approach, particularly in smaller organisations, may also be appropriate. If the leaders of the organisation can explain verbally the 'approach to business', then assessors can validate this by checking with staff and customers.

Where formal statements are created, these should be displayed within the company and at remote sites. Understanding of the approach to business will be tested with staff and with other stakeholders.

The organisation should be able to demonstrate that it has considered:

- the purpose of the business (the role purpose or mission);
- the manner in which they wish to conduct their business (principles, codes and values);
- how they ensure that all employees understand the link between their role and the organisation's approach to business;
- how the values relate to the manner in which they conduct themselves.

Where the applicant organisation forms part of a larger organisation whose main business is not within the private security industry, the overall mission and/or values may be the one(s) used. In this case, the applicant organisation should be able to demonstrate the application of the overall mission and values within their sectors.

The key to the achievement level is an understanding of what is important to the business, what it believes in and what is therefore expected of staff. The needs of other stakeholders should be recognised.

Ref: ISO9001

EXAMPLES

Examples could include:

Mission, vision and values statement used throughout the company and covered at induction.

Mission and values are linked to/referenced in company documentation, website and procedures.

Please see the **Glossary** for a definition of the terms 'approach', 'mission' and 'values'.

1.1.2
Key stakeholders are aware of the organisation's overall approach to business

CLARIFICATION

The approach to business, including the role, purpose or mission and values needs to be communicated to the customer at a minimum during the negotiations stage when acquiring new business. With all sizes of organisation, it is acceptable for this to be verbally communicated as part of the discussions. This can be validated during interviews with selected customers.

Ongoing reference to this approach to business can be verified during regular customer discussions, especially in the area of checking how well the organisation is performing in relation to its approach helps to bring it to life.

Some sectors will find some challenge in getting evidence of consumer contact, although that does not necessarily mean that they should not do so.

Ref: ISO9001

EXAMPLES

- Including approach to business in tender and supplier documentation.
- Including approach to business in website, sales and marketing material.
- Covering approach to business in feedback-gathering mechanisms.

Please see the **Glossary** for a definition of the terms 'mission', 'values', 'stakeholder', 'consumer', 'customer' and 'sub-contractor'.

1.1.3
A plan for the business exists with an effective review schedule

This indicator links to:
- 4.4.1 The organisation regularly reviews performance against key financial indicators critical to the business.
- 6.5.1 The organisation regularly reviews performance against key staff performance indicators.

CLARIFICATION

The plan for the business should cover the financial needs of the organisation and the requirements of customers and staff. The approach to business should be evident throughout the plans. The implementation of recent changes within the industry or planned changes to legislation should be included.

Organisations may plan one or two years in advance whilst others may do their planning on a rolling six-monthly basis. The ACS does not have a specific requirement on timings. The requirement is that planning for future developments in the business takes place and that plans are reviewed and adjusted when necessary.

Any plans, documented or not, should be monitored for progress and any changes required to ensure the continuity of the business highlighted.

Applicant organisations should be moving towards planning for the business, using analysis and understanding of information gathered from internal and external performance. Where security services form part of the organisation, a discreet plan for the business may not be appropriate. However, specific plans and targets that link to the higher organisational plans would be expected.

EXAMPLES

- Identification of all stakeholders, for example, customers, staff, suppliers, members of the public and the local community.
- Collection and use internal performance indicators.
- Participation in committees and groups from the security industry and other associations.
- Use of information learned at these activities.

Plans could include such things such as:

- budget planning;
- planning for events such as licensing;
- planned recruitment to meet changes in the market place;
- use of technology to improve service delivery.

GOOD PRACTICE

Regular review of the business plan. All staff are made aware of relevant key aspects of the business plan.

Please see the **Glossary** for a definition of the terms 'analysis', 'approach', 'benchmarking', 'critical success factors', 'measures (and indicators)' and 'performance'.

1.2 The SIA approved contractor has clear mechanisms for improving the standard of service delivery

1.2.1
Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement

This indicator links to:
- 1.1.3 A plan for the business exists with an effective review schedule.
- 1.2.2 Goals, objectives and targets are clearly visible for all levels of the organisation.
- 3.5.1 The organisation regularly reviews performance against responses from customer opinion gathering.
- 4.4.1 The organisation regularly reviews performance against key financial indicators critical to the business.
- 6.5.1 The organisation regularly reviews performance against key staff performance indicators.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

Critical success factors (CSFs) are the things an organisation must address in order to achieve its overall aims (for example, purpose or mission). It is not a requirement of the ACS standard that these critical success factors are documented. However, it is important for the leaders of the organisation to be able to articulate what is important to their business.

Many organisations concentrate on financial critical success factors and supporting measures, along with performance indicators against specific contracts. Good practice would be to have a critical success factor and supporting measures that would also relate to staff and leadership, as well as financial and customer measures.

Where applicable (i.e. for licence management): performance should be to meet the two specific key performance indicators (KPIs). This is not required to be documented, if the company can demonstrate that they are meeting them.

Ref: ISO9001

EXAMPLES

CSFs often start with the phrase 'We must have...', for example:

We must have:

- satisfied clients and customers;
- a range of products and services to meet market needs;
- effective leadership;
- highly effective and motivated people;
- a culture of continuous improvement;
- effective financial and management systems;
- access to adequate financial and human resources;
- strong alliances with selected business partners;
- sound health and safety and environmental operations;
- profitable contract wins;
- effective processes and procedures.

GOOD PRACTICE

Critical success factors are documented with linked targets and benchmarks, and are reviewed monthly by the senior management team.

Please see the **Glossary** for a definition of the terms 'critical success factors', 'key', 'performance', 'management system' and 'measures (and indicators)'.

1.2 The SIA approved contractor has clear mechanisms for improving the standard of service delivery

1.2.2
Goals, objectives and targets are clearly visible for all levels of the organisation

This indicator links to:

• 1.1.3 A plan for the business exists with an effective review schedule.

• 1.2.1 Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement.

• 4.4.1 The organisation regularly reviews performance against key financial indicators critical to the business.

• 6.5.1 The organisation regularly reviews performance against key staff performance indicators.

• 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

The key aspect of this indicator is the flow down from overall aims, through critical success factors and measures to specific goals, objectives and performance targets throughout the organisation. Whilst mission and critical success factors are not required to be documented, the challenge for any organisation is to ensure that individual or team goals and objectives are understood and achieved.

The prioritisation of the goals and objectives is not important to ACS approval, providing that there is a balance/range of goals and objectives that include such things as quality of service, staff considerations and the linkage with overall aims, and that this can be demonstrated.

Goal setting within a smaller organisation will be less formal, however it should still exist. It may be targeted more around the service delivery aspect of the business, but all staff should know and understand the goals and objectives of both the organisation in general and the customer contracts they work on. Individuals should understand how their individual performance contributes to the organisation's overall goals/objectives.

Ref: ISO9001

EXAMPLES

Different parts of the organisation would have different goals, objectives and targets, but they would all link into the overall goals and objectives of the organisation.

For example:

- a person who looks after the payment of wages would have objectives and targets around accuracy of the wages and payment on time;
- a frontline member of staff would have objectives and targets relating to the achievement of customer requirements, as laid out in assignment instructions.

GOOD PRACTICE

Company goals are included in assignment instructions. Goals are covered as part of the appraisal process.

Please see the **Glossary** for a definition of the term 'goals'.

1.2 The SIA approved contractor has clear mechanisms for improving the standard of service delivery

1.2.3

Procedures have been defined to ensure conformance to working standards or codes of practice

This indicator requires a commitment to a British Standard code of practice, where relevant to do so. Vehicle immobilisers operating in Northern Ireland should work to the British Parking Association code of practice for control and enforcement of parking (or equivalent).

Commitment to working to the codes of practice should be confirmed with both staff and customers.

British Standard codes of practice take the form of guidance and recommendations only, and should not be quoted as if they are a specification. An organisation may deviate from the code(s) of practice, where they can justify to the assessor and/or SIA that any deviation does not affect service delivery, public safety and/or the integrity of the ACS.

For those using the licence management service, most contact with us will be through our portal, so there should be little need for any e-mails to be sent to us that contain personal information about licensees/licence applicants. However, where the business sends e-mails externally to us that contain personal or sensitive information, e-mails should be encrypted (to Advanced Encryption Standard 256) and/or password protected. Encryption is not required internally by the organisations approved to use our licence management service, because access is controlled by other measures, for example, password protected e-mail accounts and access controls.

Level 1:

Full UKAS accredited certification for British Standards means product certification (as defined by ISO17065) for each British standard code of practice. This will be in the form of a separate product certificates for each code of practice or in the form of a passport scheme approval certificate where a requirement of the passport scheme includes British standard product certification. This does not include ISO9001 certification that covers the security sector British standard codes of practice.

Level 2:

Evidence demonstrating that the contractor participates constructively in the development of private security industry codes of practice will vary according to the size and type of organisation. For some organisations, this may include membership of relevant committees such as the British Standard Institution's development committees, the SIA's standards groups, or other standards development groups. For smaller organisations, this might include contributing to workshops or consultation activities relating to standards development. Tangible evidence should be available to support, such as records of comments on proposals or drafts, invites to formal consultation as an industry expert, attendance at consultative events, meeting minutes.

An organisation could make use of BSI standard development portal https://standardsdevelopment.bsigroup.com to stay up to date with the progress of standards that affect you and the security industry, and make active contributions in the development of industry-shaping standards e.g. by commenting on standards when they are circulated as a draft for public comment.

Please see the **Glossary** for a definition of the term 'code of practice'.

1.2 The SIA approved contractor has clear mechanisms for improving the standard of service delivery

EXAMPLES

- A check list to ensure that assignment instructions are being followed.
- Checks by internal quality groups against ISO9001 and the relevant British standards.
- External audits against ISO9001 and the relevant British standards.
- Checks conducted by local authorities on 'incident logs' signing in books etc.
- Audit to demonstrate adherence to licence management service eligibility criteria and conditions.

The relevant standards can be found listed in the self-assessment.

GOOD PRACTICE

An internal audit programme implemented by independent internal auditors (staff do not audit their own).

- Mystery shopping.
- Spot check.
- Covert observation.

Gain UKAS-accredited product certification for the British standards within sector scope of the ACS assessment.

1.3.1

The management of internal and external communications is handled effectively

CLARIFICATION

The handling of information is a broad subject and however it is handled, the applicant organisations should ensure that it:

- covers key service delivery information such as customer contractual requirements, the aims and purpose of service provision, financial information about a contract and so on;

- is accurate and up to date with some form of document control – see indicator 5.1.1;

- is available to the right people;

- is available when needed;

- is managed and controlled in line with legislation – see indicator 5.1.2.

The information produced should be regularly reviewed to ensure it is still relevant and wherever possible, the amount of information in circulation should be reduced.

The provision and management of information may be a manual process within smaller applicant organisations. It is important to verify how the above points can be demonstrated.

The key to the ACS standard is that communication to customers and staff is thought through, in terms of identifying what type of information needs to be communicated, when it needs to be communicated and how it is communicated to the different audiences. This should be validated with staff and other stakeholders.

It should not be assumed that because an organisation has few staff, communication is easily undertaken or understood.

Communication within a smaller organisation can, by the nature of the organisation, be less dependent on written forms and is more reliant on verbal communication. Where communication methods are less formal, there is a greater risk that communication may be overlooked, ineffective or that the needs of the stakeholders are assumed and not identified.

Due to the nature of larger applicant organisations, there should be a more formal and rigorous approach to communication. In some of the largest organisations, there may be a department with responsibility of ensuring communication needs are met. Communication is likely to be on different levels dependent on the recipient, especially where customers are also based on multiple sites. The provision of information in larger companies is usually computer based. One of the key issues tends to be that too much information is produced, leading to information overload and a high possibility that critical information is overlooked.

Understanding communication needs is the process of actually identifying what customers, staff and other stakeholders want in the way of communication, rather than providing a level of communication that you think is appropriate. Communication needs can vary from customer to customer and between staff members. The organisation should be striving to meet all of these needs. This does not always mean doing more. In some instances, it could be a case of doing less but differently.

Some sectors are particularly susceptible to 'bad' publicity, for example vehicle immobilisers and door supervisors, although no sector is immune. Applicant organisations need to be aware of this and have given thought to how they mitigate the impact of any 'bad' publicity on their business, customers and staff.

1.3 An SIA approved contractor handles internal and external communications effectively

CLARIFICATION (continued)

Care must be taken to ensure that no false or misleading claims are made with respect to memberships, certifications, approvals, accreditations, and/or affiliation on promotional material, including websites. Similarly, inaccurate claims of previous experience, history, or clients presenting a distorted impression of the company's ability to deliver must be avoided.

Licence management service users: A requirement is to notify us of any security breach. A security breach is where systems, passwords or machines are compromised, for example, passwords/accounts being used by unauthorised persons, operators leaving licensing screens open and accessible for long periods of time when others could freely access, findings from penetration testing that reveal system compromise. Reporting of breaches to the SIA should include:

- a confirmed breach that relates to any aspect of the licensing activity/ processes;

- other significant security incidents, for example, where there is a significant compromise to the business's overall system(s) (that is, not restricted just to licence processing activity), that could compromise the integrity of the SIA licensing system.

Licence management service users: We grant the approved contractor permission to use the licence manage strapline, "The SIA and approved businesses working together to license the private security industry". The strapline may be incorporated in full on any office stationery, marketing materials, tender documentation, vehicles and plant. The SIA shall be entitled to instruct the approved contractor to remove the licence management strapline if, at its absolute discretion, it considers that continued use is prejudicial to the good name and reputation of the SIA.

Ref: ISO9001

EXAMPLES

- How communication takes place especially for 'mobile' staff and other stakeholders.

- Using top down, bottom up and horizontal communication channels.

- Evaluating the success of communications, that is, are people aware.

- Understanding the different needs of stakeholders in terms of communication, and how these are addressed.

- Assignment instructions.

- Prior risk assessments being available before a contract renewal visit.

- Results against service level agreements being available prior to a customer visit.

- Licence renewal information.

- Contract profitability.

- Actions taken following feedback from customers, consumers and other interested parties.

Information could include providing timely information on former staff to potential recruiters, for screening and vetting purposes.

1.3 An SIA approved contractor handles internal and external communications effectively

> **GOOD PRACTICE**
>
> - A dedicated 'gatekeeper' keeps tabs on all external communications.
> - Remote staff can safely and securely access a company intranet site.
> - Company extranet for customers/stakeholders.
> - Chat rooms for staff.
> - Company newsletters sent out with pay.
> - Staff notice boards.
> - Effective use of social media such as Facebook and Twitter to promote business and communicate with stakeholders.
> - Policy on staff use of social media to protect organisational reputation.

1.4 The SIA approved contractor actively manages the impact of its services on society and the environment

1.4.1

There is a policy relating to corporate social responsibility and the environment, which is communicated

CLARIFICATION

The ACS standard does not require the applicant organisation to have a written corporate social responsibility policy.

The applicant organisation should be aware that all individuals and organisations have a responsibility to society, both the local community and the environment.

Taking steps to make customers aware of your position on corporate social responsibility could include a comment or statement on the organisation's website, or in promotional literature. In a small organisation, it could simply be a reference to corporate social responsibility in client discussions.

Any actions taken to reduce the impact of service delivery on the environment need to be appropriate to the sector. For example, CVIT vehicles are not designed to be environmentally friendly, however there are actions that could be taken around maintenance and emission testing that could have an impact. However, in some other sectors, mobile patrols could be done using more environmentally friendly modes of transport, such as scooters instead of cars or electric vehicles. There should also be an awareness of what recycling is possible within their type of business. The whole organisations should be aware of the activities of the organisation and their responsibility to participate.

EXAMPLES

- Awareness throughout the organisation of the role it plays in 'keeping people safe'. For example, door supervisors removing weapons from individuals and handing them over to the Police, or raising awareness of the risks when in crowded places.
- Consideration of activities the organisation could be doing, however small, to reduce the impact of their work on the environment and community at large, such as:
- safe disposal of batteries, computers, etc.;
- recycling of paperwork;
- recycling printer cartridges;
- old computers given to the community;
- recycling of uniforms;
- use of alternate types of transport;
- safer driving initiatives;
- reductions in utility usage, for example, electricity;
- conformance to ISO14001;
- involvement in customer initiatives, for example, can recycling, cigarette butt-end recycling;
- donating old (unbranded) uniforms.

Please see the **Glossary** for a definition of the term 'corporate social responsibility'.

1.4 The SIA approved contractor actively manages the impact of its services on society and the environment

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A written policy might help demonstrate the organisation's commitments to corporate social responsibility. Publicising this to all staff and customers would be a further enhancement.

The policy could include:

- ethical purchasing, for example, local purchasing;
- local recruitment;
- waste transfer notes to confirm correct disposal. Tracking devices to monitor the speed of vehicles, or speed limiters;
- effective route planning to reduce impact on the environment;
- development of public transport policy;
- purchasing fair trade tea and coffee;
- ISO14001 in Environmental Management.

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1.4.2

The organisation plans activities to promote and improve the reputation of the private security industry with the Police, the local community and with customers

This indicator links to:
- 1.4.3 The organisation is involved in activities to promote and improve the awareness of counter-terrorist activities.

CLARIFICATION

The reputation of the private security industry within the local communities and with customers is often damaged by a small number of individuals and companies. The focus of this indicator is around applicant organisations taking positive action to improve/change this reputation. All action should be appropriate to the size and nature of the applicant organisation. Everyone within the organisation should recognise their responsibilities, with respect to corporate social responsibility, and be able to articulate the impact their work has on the local community and environment.

Most security organisations will come into contact with the Police at some point, for example, in response to incidents. The reputation of the industry may be influenced by police perceptions, and development and maintenance of appropriate relationships will be beneficial. Opportunities include counter-terrorism initiatives.

Organisations must ensure that the appropriate level of contact is maintained. For example, larger companies may sit on the National Police Chiefs' Council (NPCC) consultation groups. Smaller organisations may have more reactive relationships, but could try to build links via local community safety groups or beat officers.

Door supervision companies may wish to liaise with their local police licensing officer. Some companies have built links through attendance at police seminars or are approved police community safety accreditation scheme partners.

EXAMPLES

- Presenting a professional image when dealing with customers.
- Belonging to local enterprise groups.
- Behaviour when in contact with local community.
- Sponsoring local sports teams.
- Participating in/supporting local activities.
- Talks in local schools about the role of security industry.
- Promotion of regulation and its positive impact.

GOOD PRACTICE

- A planned approach to corporate social responsibility to ensure that activities fit with the organisation's overall aims and objectives.
- Active member of town centre groups aimed at reducing crime.
- Open days to encourage local people to appreciate the role and potential impact of the organisation.
- Recruitment of people with special needs.
- Free security services offered to local events.
- Creation of a cross-organisation working group to consider "what do we do", "what can we do" and "how do we achieve it" with regard to corporate social responsibility.
- Stray and nuisance dogs reported to the Police out-of-hours are brought to the company offices, and kennelled overnight in a purpose-built area containing multiple kennels. The dogs are then collected the following morning by the local dog wardens.

1.4 The SIA approved contractor actively manages the impact of its services on society and the environment

1.4.3

The organisation is involved in activities to promote and improve the awareness of counter- terrorist activities

This indicator links to:

- 1.4.2 The organisation plans activities to promote and improve the reputation of the private security industry with the Police, the local community and with customers.

1.4 The SIA approved contractor actively manages the impact of its services on society and the environment

EXAMPLES

As a minimum, activities might include:

- Staff should understand that they have a role in relation to counter-terrorism.

- Counter-terrorism information should be provided at induction, and refreshed as necessary, to reflect the latest advice from key agencies such as GOV.UK, National Counter Terrorism Security Office (NaCTSO) and the Centre for the Protection of National Infrastructure (CPNI www.cpni.gov.uk/), as well as from local initiatives.

- Staff should have a basic understanding of some of the fundamental concepts/campaigns, such as:

  – awareness e-learning (www.gov.uk/government/organisations/national-counter-terrorism-security-office);

  – the National Police Chiefs' Council/Counter Terrorism Policing 'run tell hide' campaign (www.npcc.police.uk/NPCCBusinessAreas/WeaponAttacksStaySafe.aspx);

  – the British Transport Police "See it. Say it. Sorted." (www.btp.police.uk/latest_news/see_it_say_it_sorted_new_natio.aspx).

- Staff could be provided with access to the citizenAID app which gives practical advice (www.citizenaid.org/home).

- Businesses could consider improving practices, in line with the latest guidance such as the NaCTSO Crowded Places Guidance (www.gov.uk/government/publications/crowded-places-guidance) and consider the activities from the menu of tactical options on p.6/7 of the NPCC document (www.gov.uk/government/publications/national-stakeholder-menu-of-tactical-options).

- Businesses could consider additional controls to minimize the likelihood of existing staff becoming a security concern (www.cpni.gov.uk/reducing-insider-risk).

- Businesses could be signed up to receive the National Counter Terrorism Protective Security threat advisory messages from CSSC, and share these with staff (www.thecssc.com/security-and-safety-messages/).

- Businesses should know where to seek advice from counter-terrorism security advisers (CTSAs work with businesses and the community to identify and assess sites that may be vulnerable to terrorist or extremist attacks).

- Attending specialist training and awareness days.

- Read publications on the NaCTSO website and distribute them amongst staff.

More information is available from www.gov.uk/government/organisations/national-counter-terrorism-security-office

1.5.1

The organisation regularly reviews performance against success factors and performance indicators

This indicator links to:

- 1.2.1 Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement.
- 1.2.2 Goals, objectives and targets and clearly visible for all levels of the organisation.
- 1.4.1 There is a policy relating to corporate social responsibility and the environment, which is communicated.
- 1.4.2 The organisation plans activities to promote and improve the reputation of the private security industry with the Police, the local community and with customers.
- 1.4.3 The organisation is involved in activities to promote and improve the awareness of counter-terrorist activities.
- 2.1.1 Key service delivery processes have been identified and are understood by all.
- 4.4.1 The organisation regularly reviews performance against key financial indicators critical to the business.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

Applicant organisations should consider measuring some of the activities conducted in indicators 1.4.1 and 1.4.2.

All organisations should have clearly defined health and safety measures for the services they supply. Smaller organisations may have health and safety measures at assignment instruction level. All organisations should have measurable success factors for these measures and should evaluate the impact of these during reviews of their performance.

EXAMPLES

Measuring activities related to the organisation's goals, objectives and critical success factors could include:

- customer satisfaction;
- contract performance (for example, response times and customer contact);
- staff retention;
- staff training and development;
- effective leadership;
- effective financial and management systems;
- access to adequate financial and human resources;
- health and safety arrangements.

Measuring activities relating to meeting the needs of customers, consumers and the public could include:

- emissions from transport;
- utility consumption;
- waste streams, for example, paper, printer cartridges, batteries, glass;
- use of new and recycled materials;
- accidents and near misses;
- media interest;
- contribution to local economic development;
- relationships with relevant authorities, local media, local community;
- ethical behaviour, for example. poaching contracts from other security providers;
- impact on local economies, for example, reduction in crime levels;
- nuisance and harm from the organisation's operation, for example, speed of response to audible alarms in residential areas.

In addition, awards and membership of health and safety bodies may provide an indication of the extent of an organisation's commitment to the environment, society at large, and protecting the public.

Please see the **Glossary** for a definition of the terms 'critical success factors' and 'measures (and indicators)'.

Criterion 2: **Service delivery**

An SIA approved contractor has robust processes in place that ensure service delivery to its customers and stakeholders

Note:

1. Examples of the types of evidence you may consider sufficient to meet the ACS standard are given wherever possible. As verification visits are conducted, additional examples will be added. This also applies to the examples of good practice contained in this section. Should you have difficulty in determining whether evidence meets the ACS standard, you should contact us.

2. Subcontractors referred to in 2.4.1 refers to companies that are subcontracted to deliver security services on behalf of the applicant.

This criterion is composed of six sub-criteria

The SIA approved contractor can demonstrate that it:

2.1   has in place effective service delivery processes;

2.2   has a plan to ensure continuity of service delivery;

2.3   identifies and responds appropriately to what customers require of a security service;

2.4   monitors and manages service delivery to both customers and consumers in a consistent manner;

2.5   monitors internal processes, taking appropriate action to make improvements, when necessary;

2.6   measures and improves performance against key customer and consumer indicators.

2.1 An approved SIA contractor has in place effective service delivery processes

2.1.1
Key service delivery processes have been identified and are understood by all

This indicator links with:

- 1.2.1 Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement.
- 1.3.1 The management of internal and external communications is handled effectively.
- 1.5.1 The organisation regularly reviews performance against success factors and performance indicators.
- 7.1.2 Managers and directors responsible for processes and key personnel are involved in developing and can demonstrate an understanding of procedures.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

All applicant organisations should have defined the processes required to deliver services to all customers. These processes can be defined at a number of levels, forming a quality management system, such as that required by ISO9001. At their lowest level, the processes would take the form of assignment instructions, which inform the staff on how to deliver to a specific client or site. This would be the minimum requirement for approval against the ACS standard. All processes required to deliver services should have associated standards of operation with performance targets, and should be regularly tested to ensure that standards are being achieved. The approach to testing can range from a contractual arrangement with an external supplier or mystery shopper, to an internally developed and delivered testing regime. It is up to the applicant organisation in consultation with its customers to determine what approach best fits its needs.

Smaller organisations are likely to have processes defined at the level of assignment instructions, and there should be some level of documentation around these processes. The scope should cover the full range of processes used to manage service delivery. The level of detail required in the documentation would be in relation to the size of the applicant organisation. However, there should be clear, accurate and up to date assignment instructions in place for all contracts. Verbal communication only is not acceptable for assignment instructions.

Documentation for key internal processes should be sufficient to ensure that processes can be understood and carried out by someone new to the job with minimal input. Although informal, there should be some methodology in place that allows for issues and improvements to be raised.

Within larger organisations, formal documentation, usually in the form of a quality management system, should be in place even if the applicant organisation is not ISO9001 accredited. This should cover internal procedures as well as those affecting service delivery. The level of detail within the quality management system should be appropriate to the size of the organisation.

Formal processes should be in place, to ensure that issues and improvements are handled at an appropriate level within the applicant organisation. If it is possible to make local changes to procedures, that is, at individual customer sites, then evidence must be presented on how this is controlled.

Evidence that processes are being followed should be presented to the assessor who should confirm that they are implemented where relevant within the applicant organisation and that they are used at all times.

Ref: ISO9001

Please see the **Glossary** for a definition of the terms 'inspection', 'key', 'key processes', 'measures (and indicators)', 'service delivery', 'strategy' and 'process'.

2.1 An approved SIA contractor has in place effective service delivery processes

EXAMPLES

Your key service delivery processes must be tested and these tests must be outside routine site inspections. For example, if you provide security services, you must test the effectiveness of that security service.

Other examples include:

· processes key to the success of the business are understood by management;

· third party penetration testing.

GOOD PRACTICE

· Key processes are formally managed with owners, targets, benchmarking and review.

· Changes to processes are made as a result of incidents and complaints.

· Resourcing a dedicated performance manager to oversee key service delivery.

2.2.1
There is a current and effective plan to ensure continuity of service delivery

This indicator links with:
- 1.2.3 Procedures have been defined to ensure conformance to working standards or codes of practice.

CLARIFICATION

The ACS standard is looking at how the applicant organisation manages incidents and crisis within the business. This is looking at the internal procedures rather than the handling of incidents at a customer site, which is addressed in another indicator.

The scope of the continuity plan, sometimes known as a 'disaster recovery plan', will be dependent on the ability to recover after an incident or crisis. There must be some evidence that the plans have been reviewed, periodically, and that the organisation has identified the critical operational aspects of the business.

The extent to which the continuity plans are tested will vary, depending on the size of the applicant organisation. Larger organisations may have a continuity plan, covering the full scope of the business, with a rigorous testing schedule that is implemented.

Note that sectors, such as key holding, would consider all call-outs as incidents, and it is important that the organisation understands the difference between these call-out activities and business continuity incidents.

Ref: ISO9001

Level 2:
Evidence demonstrating that the contractor contributes to business continuity best practice will vary according to the size and type of organisation. For some organisations, this may include involvement in networking groups, and/or other business resilience groups. Tangible evidence should be available to support, such as records of attendance, meeting minutes, presentations delivered.

EXAMPLES

- How would the contractor manage after a fire/flood/snowing in at your premises, or how would you access/travel to work?
- What provision has the contractor made for loss of data due to systems failure?
- Identification of alternative offices?
- How does the contractor store key files and equipment?
- How does the contractor plan for the impact of Private Security Industry Act licensing/renewals, and their ability to cover all contracts without a fall in standards?
- How would the contractor continue to pay staff if there was a breakdown in payroll systems and procedures?
- How would the contractor respond to threats against the organisation and customer sites?

GOOD PRACTICE

- Become familiar with your customers' contingency plans to ensure compatibility.
- Design alternative manual procedures and test them for effectiveness.
- Key man insurance to cover loss of key management.
- All contingency plans are regularly tested and reviewed. The organisation works in compliance with business continuity best practice system, such as BS EN ISO 22301.

Please see the **Glossary** for a definition of the terms 'key', 'service delivery' and 'process'.

2.3 An SIA approved contractor identifies and responds appropriately to what customers require of a security service

2.3.1

The organisation meets its customers' requirements

This indicator links to:

• 2.4.2 Effective customer and consumer performance indicators and service level agreements have been established.

• 3.5.1 The organisation regularly reviews performance against responses from customer opinion gathering.

The ACS standard requires that applicant organisations meet regularly with the customer to discuss their ongoing requirements and any potential changes. The organisation should provide evidence of a proactive approach in influencing and anticipating customer requirements. These meetings should be documented in some way. The frequency of these meetings is solely dependent on the needs of the customer, and it is possible that the applicant may only meet with the customer once a year. In some sectors, such as vehicle immobilisers, it may be possible that the customer does not require frequent meetings. Evidence must be presented to support this.

Information that provides clarity of risks and threats to customer assets should be sought from the customer. An approved contractor will need to know the customer's policy and strategy to mitigate the risks and threats. If one doesn't exist, then they should work with the client and agree an appropriate approach and security solutions. Note that risk and threat assessment in this context is different to a site health and safety risk assessment.

Discussions should take place with customers on a regular basis, whatever the size of the applicant organisation. Evidence should be presented as to how these discussions are managed and controlled including frequency. If these meetings are not documented, then evidence must be presented on how key information feeds back into the organisation, and that resulting actions are carried forward.

Staff should be fully aware of customer requirements at the sites worked.

Ref: ISO9001

2.3 An SIA approved contractor identifies and responds appropriately to what customers require of a security service

EXAMPLES

Risk and threats assessment may include:

- Incidence of crime: What are the risks (actual and perceived)? Assess the type, scale and pattern of incidents that have occurred in the last 12 months.

- Environment and buildings: Where are the customer's vulnerable points? For example, access and egress points and other high-risk security areas. Assessment considers the environmental and building factors that contribute to the customer's security.

- Security measures: What level of security is required to counteract those risks effectively? Assess the effectiveness of the security measure.

- Policy and strategy document: The risk and threat assessment will highlight specific areas that will need to be included in the customer's policy and strategy document. These are specific to each business, for example, terrorism, conventional crime (theft), single-issue such as extremists.

Use of police crime maps via websites such as www.crime-statistics.co.uk/postcode

Assignment instructions reflect customer requirements and may include:

- review/amended form, acknowledgement form;
- company details and procedures;
- operational duties;
- standard instructions for security officers;
- prime objectives of security officers;
- health and safety and evaluation procedures;
- emergency procedures;
- general items, for example, service defect reporting and customer care guidelines.

GOOD PRACTICE

- The development of security contracts considering the risk and threat assessment.

- Assignment instructions are developed in conjunction with the customer and signed off by the customer.

- Assignment instructions include added value for the customer.

- Photographic details of customer sites are included within assignment instructions.

- Customers are provided with a dedicated account manager who engages with the customer to review any change in requirements on a weekly basis.

2.3.2

There is an awareness of the impact of service delivery on consumers at all levels of the organisation

CLARIFICATION

All applicant organisations at senior management level should discuss the impact of their services on consumers and the wider public. For some sectors, the impact on consumers may be limited, for example CVIT where interaction with the public may be minimal. In other sectors, such as door supervision and vehicle immobilisation, interaction with the consumer is a significant part of the role.

However, all sectors have an impact on consumers and the wider public, and this should be recognised by the senior management team. For example, within CVIT, the impact on consumers is less obvious as the role is more about maintaining strict service standards/procedures to ensure the public are not put at risk. Provided that this can be evidenced, this would be acceptable. Similarly, within the key holding sector the consumer is rarely seen or contacted. However, the presence of an alarm would be considered to have an impact on the local community and as such should be considered.

The vehicle immobilisation sector views the first-line consumer as a 'wrong-doer' as they are parking illegally. However, due consideration must be given to the manner in which the service is delivered. Staff should receive training on their role in protecting the public, and its importance, and how their role interfaces with the Police and where appropriate, other authorities.

There must be very clear and testable reasons for this indicator to be considered not applicable by any applicant organisation.

EXAMPLES

- Including impact of service delivery on consumers in assignment instructions and risk assessments.
- Staff briefings in counter-terrorism awareness.
- Briefings from local police, trading standards, Proof of Age Scheme (PASS) Crimestoppers, Local Licensing Authority, UKBA etc.
- Internal training module on protection of the public, also covered at induction.
- Statement on website or promotional material about approach to protection of the public.

GOOD PRACTICE

- Within the CVIT sector, a dedicated unit which works closely with police and other agencies to identify and prevent criminal activity in relation to CVIT operations. This highlights the impact of the service on the public and other stakeholders such as the police and local authorities.
- Impact on consumer is covered in customer meetings and feedback questionnaires.
- Customer service training for door supervisors and vehicle immobilisers.
- Staff receive training on the impact of service delivery upon consumers.

Please see the **Glossary** for a definition of the terms 'consumer', 'organisation' and 'service delivery'.

2.3 An SIA approved contractor identifies and responds appropriately to what customers require of a security service

2.3.3

The management of contractual arrangements with the customer has been defined

This indicator links to:
- 2.3.1 The organisation meets its customers' requirements.

CLARIFICATION

Formal written contracts should be put in place and signed off by both the customer and the organisation. In some sectors, there is a tendency for customers not to issue or sign a contract, for fear that this will 'tie' them into service provision. This should not be accepted. If a customer or contractor does not sign, a refusal to sign should be evidenced.

All contracts should be reviewed regularly.

Applicant organisations should ensure that the content of the contract with their customer is relevant to the services delivered, and consideration has been given to risks and liabilities.

Contract arrangements may differ between micro, small, medium and large companies, for example, micro companies may have a quotation with attached terms and conditions and rely on guidance websites for advice whereas a large company could have a commercial department, including qualified solicitors responsible for creating, reviewing and negotiating contract terms.

Ref: ISO9001

EXAMPLES

- Signed contract or terms and conditions of supply.
- Letter to customers requesting signature on a contract plus follow-up letters where contracts not signed.

GOOD PRACTICE

- Where CCTV is operated, the contract with the customer contains the objectives of the scheme, clearly indicating both valid and excluded uses. It has a written policy statement that identifies the owner of the scheme and where contact details and steps have been put in place to clearly distinguish between licensable and non-licensable CCTV activities.
- Sign off sheet on the front of contracts and/or date stamp contract review dates.

2.4 An SIA approved contractor monitors and manages service delivery to both customers and consumers in a consistent manner

2.4.1

Use of subcontractors is agreed with customers and subject to defined quality assurance procedures

This indicator links to:
- 6.1.2 Staff records are maintained.
- 3.1.1 Effective purchasing procedures are implemented.
- 3.1.2 The organisation work in partnership with its suppliers to improve performance.

CLARIFICATION

Note that reference should also be made to:

- 3.1.1, and 3.1.2 (about improving supplier performance, which includes labour providers, subcontractors and other suppliers).

The term 'subcontractors' in this section does not apply to staff obtained through an agency.

Some applicant organisations do not use subcontractors in the provision of services to customers. These applicant organisations should indicate that this indicator is not applicable. This will be tested as part of the review of staff records and discussions with staff.

Approved contractors can only subcontract provision of a security service (for which they are approved) to other approved contractors. This does not apply in cases where a subcontractor solely supplies labour, that is, 'subcontracted labour'. Such organisations are not required to be approved and may in some cases not be eligible for ACS. This exception covers self-employed individuals and 'agencies' supplying temporary staff whose licensable activities are directed and monitored by the approved contractor. If in doubt about an 'agency' then check what the contract requires – if it specifies provision of a security service then the 'agency' must be approved but if it specifies supply of labour and nothing more, then approval is not required.

Subcontractors are not permitted to subcontract further to non ACS businesses without SIA approval and the approval of the customer to whom the organisation is supplying the service.

Direct supervision in this context is taken to mean that the security company delivering the security service has full responsibility for the induction, training, direction, monitoring of performance, welfare etc. of the subcontracted operative. Supervision may be provided in person (for example by daily or weekly supervisory visits) or remotely (for example, by telephone, e-mail or text) as appropriate.

Ref: ISO9001

EXAMPLES

- Customers are made aware through letters, response to tender etc. that the service may be subcontracted.

GOOD PRACTICE

- Organisation restricts tender exercises to ACS companies only, for licensable contracts.

- Customers are notified of any use of subcontractor and given the right of refusal to accept the service.

Please see the **Glossary** for a definition of the term 'sub-contractor'.

2.4.2

Effective customer and consumer performance indicators and service level agreements have been established

This indicator links to:

- 2.3.1 The organisation meets its customers' requirements.
- 3.2.1 Professional advice is offered to customers on the best approach to meet their needs.
- 3.4.1 The organisation implements an approach to consumer contact.
- 2.6.1 The organisation regularly reviews performance against service level agreements and/or key customer performance indicators.

CLARIFICATION

All customer contracts should have associated agreed levels of service that are relevant to the size and complexity of the contract. Service level agreements should include and consider the purpose, aim and objectives of the service. Plans to ensure improvements in service delivery should exist where there are areas of poor performance or where targets have been raised to meet new and more demanding customer, legislative or other requirements.

Where applicant organisations can demonstrate good performance, the organisation should ensure some means is in place that will sustain that level of performance. The requirement of consumer measures is over the achievement level although applicant organisations are encouraged to consider putting such measures in place.

Once the security requirements have been finalised, the next step is to decide how best to specify them in the tender and contract documents. For example, input or output specifications:

- **Output** (may simply be security service should ensure no thefts of or from vehicles)
  - This is the output requirement from the service and since the security company takes the risk, it must also be accompanied by allowing the security company the freedom to choose how to satisfy the requirements, for example, staffing levels, CCTV etc. This will have a knock-on effect on the cost of the service, which may turn out to be high as the security company is required to bear the insurance costs.

- **Input** (might phrase the requirement as: 'The security service must provide two staff at all times to monitor the six CCTV cameras, to detect intrusion within one minute and provide two staff to be available within three minutes').
  - This will almost certainly yield a less expensive contract but, because the security company has limited flexibility to modify the cover, the customer must bear the consequences if this strategy does not prevent theft from a car park.

Ref: ISO9001

Please see the **Glossary** for a definition of the terms 'consumer', 'performance' and 'service level agreement'.

2.4 An SIA approved contractor monitors and manages service delivery to both customers and consumers in a consistent manner

<table>
<tr><td>EXAMPLES</td></tr>
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- Performance against targets reviewed during site visits.

Assignment instructions include:

- purpose – the reason for which something is done;
- aim – the desired outcome;
- objectives – something that you plan to do or achieve;
- appearance of security officers;
- timekeeping;
- general attitude and cooperation;
- efficiency of duties;
- supervisory visits;
- daily occurrence book;
- patrols;
- management response;
- documentation and accounts.

<table>
<tr><td>GOOD PRACTICE</td></tr>
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- There is intensive monitoring of new contracts to establish level of performance and ensure customer expectations are met, say for example three months.
- Consumers given the option of putting their exit passes in either a box that says 'below average', 'good' or 'very good' to indicate satisfaction levels.

2.4 An SIA approved contractor monitors and manages service delivery to both customers and consumers in a consistent manner

2.4.3
Incident procedures are defined

This indicator links to:
• 2.4.4 All procedures are regularly reviewed.

CLARIFICATION

This indicator is examining how the applicant organisation handles, collates and analyses things that happen that are outside the day-to-day running of a customer contract. This differs from indicator 2.2.1 in that this relates solely to incidents concerning or happening during the delivery of the service rather than the contingency planning required to maintain the business.

The incident procedures should be developed in collaboration with the customer. Staff need to have an understanding of how and what incidents should be escalated when required.

Note: In the key holding sector all activities may be recorded as 'incidents'.

In some cases, customers may be reluctant for contractors to report and record incidents on the basis that too many incidents may impact their business and/or reputation. This is particularly relevant in the door supervision sector, where serious or numerous incidents might impact the venue licence, or insurance. The contractor should be able to demonstrate how it ensures that incident procedures are followed at all times, and that staff are not discouraged from reporting by customers.

Ref: ISO9001

EXAMPLES

• Outcomes of incidents are shared with stakeholders.

GOOD PRACTICE

• Procedures are reviewed after each incident.

• Incident procedures are categorised according to impact/risk, for example, using a traffic light system. Response is tailored accordingly.

• Introduction of a 'suspicious incident report' form for CVIT crew members to complete. Analysis identifies trends, hot spots etc.

• Incident procedures are tested.

2.4 An SIA approved contractor monitors and manages service delivery to both customers and consumers in a consistent manner

2.4.4

All procedures are regularly reviewed

- 1.5.1 The organisation regularly reviews performance against success factors and performance indicators.
- 2.5.1 Plans for improvement to site-based activity exist, based on the review of actual performance.
- 3.5.1 The organisation regularly reviews performance against responses from customer opinion gathering.
- 7.1.2 Leaders are involved in the development and implementation of relevant policies and procedures.

CLARIFICATION

Procedures relating to service delivery should be reviewed regularly to ensure ongoing relevance to the requirements and their effectiveness in delivering satisfactory and improving performance.

Ref: ISO9001

EXAMPLES

- How the organisation questions the ongoing validity and relevance of its procedures, particularly at the start, renewal and end of a contract.

GOOD PRACTICE

- All procedures are reviewed at least annually.

- Staff feedback is gathered on effectiveness of procedures.

- Any improvements made as a result of a review are documented for any lessons learned.

Please see the **Glossary** for a definition of the terms 'performance' and 'organisation'.

2.4 An SIA approved contractor monitors and manages service delivery to both customers and consumers in a consistent manner

2.4.5

Effective procedures exist to ensure the attendance of staff on customer sites

CLARIFICATION

Applicant organisations from the key holding sector who attend customer sites in response to an incident, rather than attending either full-time or on a regular basis, should examine and demonstrate how they are aware that incidents are responded to in a timely manner.

(Note the reference to 'incidents' in 2.4.3 for key holding and response activities)

Customer sites include anywhere the applicant organisation provides the service. This includes:

- CVIT sector – all collection points;
- door supervision sector – all venues;
- vehicle immobilisers – all parking areas covered.

Organisations should have procedures in place to confirm that staff are where they should be and to deal with non-attendance at customer sites. This is for two reasons:

- to ensure the safety of staff by knowing their location;
- to assure the customer that their requirements are being met. 'Attendance records' can confirm that a presence on site or venue is being maintained.

EXAMPLES

- Log book on site.
- Phone calls.
- Timesheet kept by staff and submitted at the end of the week.
- Escalation process for missed check calls.

GOOD PRACTICE

- Use of GPS for tracking vehicle systems.
- Use of automated booking and check-call systems.
- Visitors' logs are kept at all sites for management/supervisors' visits. Targets are set and routinely monitored for attendance at customer sites.
- Mobile phone patrol tracker system, which enables the control centre and operations management to remotely monitor site patrols in real time.
- Specific procedures are defined for ensuring lone workers check in regularly.

2.5 An SIA approved contractor monitors internal processes, taking appropriate action to make improvements, where necessary

2.5.1

Plans for improvement to site-based activity exist, based on the review of actual performance

This indicator links to:

- 2.4.4 All procedures are regularly reviewed.
- 2.6.1 The organisation regularly reviews performance against service level agreements and/or key customer performance indicators.

CLARIFICATION

This indicator pulls together the 'Plan, Do, Check, Act' cycle for service delivery processes. Other indicators examined the need for understanding the customer requirements, having the processes and procedures in place to deliver against agreed levels of performance. This indicator requires the linkage of improvement activity with a review of results against agreed service levels.

'Improvement plans' do not have to be formal plans. However, an organisation needs to demonstrate to an assessor:

- why improvements are being made;
- what is expected from the improvement;
- Evidence of some review to establish that the improvement worked.

One of the best ways to be able to demonstrate this to an assessor would be to maintain some form of written record.

Ref: ISO9001

EXAMPLES

- Improvements to processes relating to specific contracts are made. These are reviewed and if relevant, implemented company wide.
- The review of processes as part of regular customer meetings with changes being made as required.

GOOD PRACTICE

- Specific improvement projects are established with a project owner, for example, a licensing coordinator manages licence renewals.

Please see the **Glossary** for a definition of the term 'performance'.

2.5 An SIA approved contractor monitors internal processes, taking appropriate action to make improvements, where necessary

2.5.2

Procedures for the implementation of changes are in place and used

Where processes have been changed, the applicant organisation must be able to evidence that they have managed the change in a way appropriate to the size, impact and importance of the change. This would involve taking consideration of the elements listed in the ACS self-assessment workbook.

Ref: ISO9001

Refers to 'maintaining document version control' as part of the procedures for the implementation of change. This links with section 5.1.1, which asks the organisation to assess how well version control in general is managed.

2.6 An SIA approved contractor measures and improves performance against key customer and consumer indicators

2.6.1

The organisation regularly reviews performance against service level agreements and/or key customer performance indicators

This indicator links to:

- 2.3.3 The management of contractual arrangements with the customer has been defined and implemented.
- 2.4.1 Use of subcontractors is agreed with customers and subject to defined quality assurance procedures.
- 2.4.2 Effective customer and consumer performance indicators and service level agreements have been established.
- 2.4.4 All procedures are regularly reviewed.
- 2.5.1 Plans for improvement to site-based activity exist.
- 2.5.2 Procedures for the implementation of changes are in place and used.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

This is a results indicator, where the applicant organisation can provide quantitative measures relating to service delivery. Measures should be in place to demonstrate how well the organisation and staff deliver to customer requirements.

Without quantitative measures in place, the applicant organisation cannot demonstrate positive trends and/or sustained good performance or improvements in performance.

An aim of this indicator is to enable the approved contractor to inform the customer whether the contracted service is sufficient to mitigate threats and risks to the customer assets. Measures (key customer performance indicators) should include security outputs, for example:

- if the purpose of the contract it to 'keep track of stock, maintain security and avoid staff theft by restricting access to stock and using CCTV', then number of thefts should be measured. Should the service meet agreed arrangements but fails to address the frequency of thefts, then the approved contractor should make representation to the customer;

- for a contract to provide door supervision, if the purpose of the contract is to reduce the number of violent incidents then the frequency of these incidents should be measured. It could be that the contract is for one door supervisor, and the performance of the door supervisor is acceptable but it is not having the desired results, that is, to reduce the number of incidents to an acceptable level. It could be that more than one door supervisor is required to achieve the intended aim of the contract. Should the service meet agreed arrangements but fails to address the frequency of violent incidents then the approved contractor should make representation to the customer.

However, there may be instances where the approved contractor may not have access to this data, or the customer fails to engage in a manner that enables the inclusion of these types of measures. In this instance, the approved contractor should be able to evidence this and will be accepted as justification to deviate from the required achievement level.

Ref: ISO9001

EXAMPLES

- Performance indicators within a service level agreement.
- Compliments and complaints.
- Duration of relationship.
- Customer retention.
- New and lost business.
- Effective recommendation.

Please see the **Glossary** for a definition of the terms 'key', 'key performance indicator', 'performance' and 'service level agreement'.

Criterion 3: **Commercial relationship management**

An SIA approved contractor promotes robust and transparent commercial relationships with its customers, consumers and suppliers, founded on mutual trust and respect.

Note:

1. Examples of the types of evidence you may consider sufficient to meet the ACS standard are given wherever possible.

This criterion is composed of five sub-criteria

The SIA approved contractor can demonstrate that it:

3.1   implements responsible trading practices in its procurement of goods and services;

3.2   offers professional advice to its to customers and potential customers on appropriate services;

3.3   manages customer relationships in a professional manner;

3.4   manages consumer relationships in a professional manner;

3.5   measures and improves customer perceptions of its organisation, its people and its services.

3.1 An SIA approved contractor implements responsible trading practices in its procurement of goods and services

3.1.1
Effective purchasing procedures are implemented

This indicator links to:
- 2.4.1 Use of subcontractors is agreed with customers and subject to defined quality assurance procedures

CLARIFICATION

Purchasing procedures should be in place and be appropriate to both the size and impact of the purchase. However, it is the items purchased that impact on the quality of security service that are important to the ACS standard. There should be selection criteria for suppliers based on quality/value rather than pure cost. (This applies equally to services purchased such as management consultancy, the supply of labour from agencies or from other security businesses, and the use of subcontractors). Applicant organisations should be able to demonstrate that purchases represent value for money.

Where outsourced services are provided, it must be evidenced that the applicant organisation has maintained accountability for the application of standards and procedures, for example, for outsourced security screening and vetting, the standard specified should be BS7858 or equivalent. Where a service is subcontracted, the applicant/ACS business must carry out, and be able to demonstrate due diligence to ensure required standards are met, even where the service is subcontracted to another approved contractor. If labour is sourced from an approved contractor, the contractor cannot assume that those individuals have been screened to the relevant standard, and so the contractor should satisfy itself that the individuals supplied are suitable.

Where labour is bought in, due diligence should also include compliance with all the relevant tax and national insurance legislation concerning people they deploy supply. Refer to 4.2.1.

There should be processes in place to ensure the effective monitoring of supplier performance, although the level of application should be appropriate to usage. For example, it would be expected that the monitoring of any outsourced supplier (such as a subcontractor) is more closely monitored than that of a stationery supplier. Equally, the purchase of management consultancy should be reviewed to ensure that deliverables have been identified and realised. There should also be clear procedures in place for the handling of supplier issues and poor performance. Once again, this should be relevant to the size and impact of the product supplied.

Note: Approved contractors that are subsidiaries within a group structure, may 'share' services (such as human resources, screening, payroll) with other subsidiaries or the parent organisation within the same group. In this scenario, there should be clear contracts or service level agreements that set out the nature of the service, the obligations and accountabilities etc.

Larger applicant organisations may use national suppliers and would therefore need to have more structured reviews of supplier performance than smaller applicant organisations. It is likely that there are more levels of approval based on the value of purchase, understanding and application.

The relationship between smaller applicant organisations and their suppliers is likely to be more informal, with:
- more local relationships being developed;
- selection processes being less rigorous.

Approval levels within smaller organisations are more likely to be less complex, often at a single level. However, there should still be evidence that approval has taken place.

Decisions relating to the selection of suppliers are often made on a convenience basis in smaller organisations. In these circumstances, there should be evidence of processes to reach that decision, rather than a formal purchasing policy. Some small companies only need to make one off purchases, such as on an ad hoc basis for repairs, service and breakages and therefore the selection procedures may reflect this. Whatever the approach to the selection of suppliers, it should be applied on all occasions.

Ref: ISO9001

Please see the **Glossary** for a definition of the terms 'knowledge' and 'supplier'.

3.1 An SIA approved contractor implements responsible trading practices in its procurement of goods and services

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<tr><td>**EXAMPLES**</td></tr>
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· Outsourcing of specific tasks such as screening.

· Selection criteria could include staying with the supplier known to the organisation who has historically delivered the product and the service required, to the specified standard.

· When purchasing office technology, consideration is given to product energy rating and efficiency, and selection made on this basis rather than cost.

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3.1 An SIA approved contractor implements responsible trading practices in its procurement of goods and services

3.1.2

The organisation works in partnership with its suppliers to improve performance

The applicant organisation must be clear as to its requirements from any supplier, including labour providers/subcontractors. This can be as simple as agreeing delivery within a set timeframe or having something constructed to specifications. Provided that these are appropriate for the size and nature of the request, then they would be applicable to achieve the required level. The level of discussion with the suppliers, including labour providers/subcontractors to review their performance should be in line with the size and nature of the goods supplied.

Where an organisation has outsourced its control room, then the provider of that facility is considered to be a supplier. The organisation should receive daily reports on the performance of the outsourced control room against agreed standards.

Note: approved contractors that are subsidiaries within a group structure, may 'share' services (such as human resources, screening, payroll) with other subsidiaries or the parent organisation within the same group. In this scenario, there should be clear contracts or service level agreements and there should still be a review of performance.

Ref: ISO9001

Applicant organisations should be encouraged to build a relationship with their suppliers and work together to improve performance where necessary. An example of this would be to work with a recruitment agency to ensure that the advertising and 'sifting' process is adequate, to reduce the number of unsuitable job applicants.

Where organisations do not have the expertise to select suppliers effectively, (for example, consultants) independent advice should be sought from a relevant body (for example, Chamber of Commerce).

- CVIT companies work closely with vehicle manufacturers to ensure vehicles are fit for purpose.
- Some companies might work with IT suppliers to ensure packages are specifically tailored to meet their specific needs.
- DS companies have worked with uniform suppliers to develop arm bands to hold the SIA licence.
- Consultants are given a clear brief as to what they are expected to deliver, including time-targeted outcomes.

Please see the **Glossary** for a definition of the term 'partnership', 'performance' and 'supplier'.

3.2 An SIA approved contractor offers professional advice to its to customers and potential customers on appropriate services

3.2.1

Professional advice is offered to customers on the best approach to meet their needs

This indicator links to:
- 3.5.1 The organisation regularly reviews performance against responses from customer opinion gathering.

Please see the **Glossary** for a definition of the terms 'approach' and 'supplier'.

3.2 An SIA approved contractor offers professional advice to its to customers and potential customers on appropriate services

3.2.2

The organisation implements an effective approach to responding to tenders/ request for services

The assessor will expect to see company and other information to hand and utilised as part of the tender process. There should be evidence of how discussions with prospective and new customers concerning requirements and risk assessments are fed into tenders and contracts respectively.

It is possible in the vehicle immobilisation sector that there is no tendering process, especially where there is no fee paid for patrolling the site or there is a lack of competition in the area.

Within larger organisations, it is possible that the tendering process is conducted by a special group of people, based on strategic decisions made as part of the business planning process. Smaller organisations should have an approach to preparing tenders that minimises the effort involved in putting one together, and takes account of the lessons learned from previous successful and unsuccessful tenders. It is expected that this would involve, for example, the use of templates, which can be traced for amendments demonstrating how lessons learnt are fed back into the process.

The review of successful and unsuccessful tenders should be evidenced and how the lessons learned are fed back as improvements to the process explored. The response to tender/request for service should be founded on compliance with employment obligations.

Ref: ISO9001

Please see the **Glossary** for a definition of the terms 'approach' and 'benchmarking'.

3.2 An SIA approved contractor offers professional advice to its to customers and potential customers on appropriate services

3.2.3

The organisation implements a process for obtaining new business

There should be an approach in place for obtaining new business that is planned, with the type of customer being identified as part of the planning process. The approach should then be developed in a way appropriate to the target audience, based around ethical behaviour and integrity.

Within smaller organisations, obtaining new business may be more opportunistic, but the assessor should still see evidence of a planned and targeted customer base to ensure that service delivery can be attained. It is possible that the strategy of the organisation is not to go out and seek new customers/sectors. All that may be in evidence is a process for extending contracts with existing customers. This should be tested through the review of the plan for the business. There should be a process for how the organisation intends to achieve its stated aim.

Ref: ISO9001

GOOD PRACTICE

- Networking, especially with other agencies, for example, working with local crime reduction groups or local business groups.

- Being on approved supplier lists.

- Exploiting potential with customers who have additional or future security needs, for example, identifying new construction sites, following up with tenant customers.

- Developing links with local traders – offering them a discount to create a win-win situation.

- Care must be taken to ensure that no false or misleading claims are made with respect to memberships, certifications, approvals, accreditations, and/or affiliation on promotional material, including websites. Similarly, inaccurate claims of previous experience, history, or clients presenting a distorted impression of the company's ability to deliver must be avoided.

3.3.1

The organisation implements a process for customer site visits

CLARIFICATION

Where multiple sites are covered, then the ACS standard requires that a supervisor is responsible for making ongoing visits to the sites within the scope of their responsibility. The regularity of the visits should be determined by customer requirements.

Within some sectors, for example vehicle immobilisers and CVIT, it is appropriate for site visits to be conducted as part of the initial visit at the start of a contract. Further site visits are made only at the request of the customer. Where organisations feel that this is appropriate to their organisation, they must provide evidence to the assessor to justify this approach.

In certain circumstances, such as within the vehicle immobilisation sector, there may be a large number of customer sites involved, however it is not acceptable that any site is not visited.

The purpose of any site visit should be clearly defined.

Please see the **Glossary** for a definition of the term 'supervisor'.

3.3.2
The organisation implements a complaints procedure

CLARIFICATION

The contractor should be able to define what they consider to be a 'complaint' – for example, is it any level of dissatisfaction? Can it be oral? Does it have to be formally submitted?

Complaints from both customers and consumers should be recorded effectively. The manner in which the records are kept should be appropriate to the size of the applicant organisation. It is not necessary to have a computer-based system to record complaints. Whatever method is used, manual or automated, it should facilitate easy analysis of the type and nature of the complaints. Any patterns or trends should be monitored and reviewed.

The organisation should be able to provide examples of complaints, including details of what action has been taken and how processes have changed as a result. Unless complaints are always handled by the highest level of authority, there should always be procedures in place for escalating the non-resolution of complaints.

People should be able to make a complaint in a way that is appropriate, for example, by telephone, in person, in writing, via the website, customer or e-mail. There should be time targets for response, and the organisation should monitor this. Complainants should be followed up to ascertain whether they were satisfied with the way the complaint was handled and whether they are satisfied with the outcome.

Ref: ISO9001

GOOD PRACTICE

- The complaints process is widely publicised.
- The company has used ISO10002 during the development of its complaints handling procedures.

3.4.1

The organisation implements an approach to consumer contact

This indicator links to:

- 2.4.2 Effective customer and consumer performance indicators and service level agreements have been established.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

Consumer feedback is generally received via the customer as part of the complaints procedures as indicated in indicator 3.3.2.

SIA licence training, especially for door supervisors and vehicle immobilisation, includes a section on dealing with the consumer, which is more relevant to indicator 2.3.2. Some sectors, such as CVIT, may not deal with consumers at the point of service delivery and internal training focuses on making staff more diligent and more aware of the threats that exist on an everyday basis. This would be considered as an approach to the management of consumer contact.

Within the CVIT sector, guards do not want to interact with the public, due to the nature of their business. Any complaints received generally relate to specific incidents, such as car and vehicle accidents. These should still be recorded and analysed for patterns. Vehicle immobilisation companies, due to the nature of the business, are more likely to receive complaints directly from the consumer. Vehicle immobilisers would have contact with consumers on a regular basis and there should be instructions given as to how to handle consumers and the feedback gained.

Most of the sectors will have no planned contact with consumers to solicit opinions about the service they deliver. Complaints may be received by consumers or consumer representatives. This includes, for example, complaints that come via the SIA or Citizens Advice Bureau. Consumer feedback may be sought in a proactive manner (for example, through use of the Well Driven? contact point, company website www.welldriven.org).

GOOD PRACTICE

- An applicant organisation analyses the complaints received from consumers separately and takes specific action to address any issues.

- Proactively seek consumer feedback.

- Organisations may be able to exploit existing customer surveys to include feedback on security.

- Complaints from consumer representatives are managed as part of the organisation's complaints process.

Please see the **Glossary** for a definition of the terms 'approach' and 'consumer'.

3.5 An SIA approved contractor measures and improves customer perceptions of its organisation, its people and its services

3.5.1

The organisation regularly reviews performance against responses from customer opinion gathering

This indicator links to:

• 1.2.1 Key stakeholders are aware of the organisation's overall approach to business.

• 2.3.1 The organisation meets its customers' requirements.

• 2.4.4 All procedures are regularly reviewed.

• 3.2.1 Professional advice is offered to customers on the best approach to meet their needs.

• 3.3.2 A complaints procedure is in place and implemented.

• 3.4.1 An approach to consumer contact is implemented.

• 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

Opinion gathering to deliver quantitative measures does not have to be a formal annual quality questionnaire; it can be as simple as a series of set questions to be discussed with all customers, with the results being consolidated into percentages or numbers for the organisation.

Some organisations will have sophisticated systems for doing this, whereas other organisations may gather information on an informal basis.

Organisations should be able to provide examples of feedback from customers, including an indication of how the organisation has responded, and any action taken as a result.

Ref: ISO9001

EXAMPLES

• Capability and behaviour of staff.

• Value for money.

• Reliability.

• Responsiveness.

• Flexibility.

• Communication.

• Accessibility.

• Intention to renew contract.

• Willingness to recommend.

Please see the **Glossary** for a definition of the terms 'measures (and indicators)' and 'performance'.

Criterion 4: **Financial management**

An SIA approved contractor is financially viable with sufficient resources to meet its current and future obligations.

Note:

1. There are elements within this criterion which cover the financial processes of a business and the legislative requirements of running a payroll system. It is your responsibility to provide a truthful assessment of your performance. You should familiarise yourself with the key points of some of the legislative requirements. The GOV.UK website (www.gov. uk) is a trusted source of information relevant to many of the legislative requirements within the ACS standard.

This criterion is composed of four sub-criteria

The SIA approved contractor can demonstrate that it:

4.1 has sufficient and suitable financial resources to manage its financial obligations;

4.2 uses robust processes to manage finances and associated risks;

4.3 understands the market place and has financial plans to meet or change its strategic direction;

4.4 measures and improves performance against key financial indicators.

4.1 An SIA approved contractor has sufficient and suitable financial resources to manage its financial obligations

4.1.1

The organisation has the funding available to achieve its plan for the business

This indicator links to:
- 1.1.1 The organisation has a clear approach to business that is acted on and communicated to all staff.
- 1.1.3 A plan for the business exists with an effective review schedule.

CLARIFICATION

It is not expected that an assessor would examine the accounts in detail. The purpose of this indicator is to ensure that the applicant organisation is able to demonstrate that it has been operating within the statutory requirements. Where an organisation is registrable for VAT, the organisation should evidence that it is VAT registered and that VAT payments have been made to the HMRC as and when they were due for at least 12 months.

In larger organisations, the assessor may wish to speak to the finance director about this information.

Applicant organisations must demonstrate that they have the funding to meet their business plan and commitments. The assessor will not be required to examine the financial arrangements in detail. The applicant organisation should be able to satisfy the assessor that financial arrangements are in place.

Companies should be able to confirm income streams, profitable and non-profitable contracts, overhead analysis, loans and overdraft arrangements, factoring, shareholders, investments, budgets and forecasts.

The organisation must meet their debt as and when they fall due. If not, this indicates that the company is insolvent and falls below ACS requirements. These instances may be mitigated where the organisation makes use of formal (contract) third-party guarantees. In this case, it is reasonable to expect the applicant business to provide evidence of that guarantee.

It is important that purchasers can be reasonably satisfied that an approved contractor is a stable and healthy organisation financially. Companies will need to demonstrate that finances are recorded, identifiable and legitimate.

Approved contractors will need to be aware of their organisational credit rating. A poor credit rating may not necessarily be a problem in itself, provided that the organisation can justify the rating and demonstrate that it is taking steps to remedy poor creditworthiness. An approved contractor must supply all documents to Companies House, as required of it by law, on time.

Level 2:

In promoting access to its accounts, the organisation should go beyond relying on companies house records and ensure these are readily accessible to the public, such as by publishing full accounts on its public engagement platforms.

4.1 An SIA approved contractor has sufficient and suitable financial resources to manage its financial obligations

- Business bank accounts.

- Invoices.

- Receipts.

- Payroll to cross reference with bank accounts.

- Credit ratings.

- Management/KPI reviews/meeting minutes.

- Value of contracts/percentage of profits.

- Tenders.

- CSF – comparison from previous years.

- Consider businesses using contracts as a loss leader, which is acceptable for larger businesses, but not practical for small/micro business.

- Third-party guarantees.

- Factoring agreements.

- Loans.

Level 1:
- The organisation updates staff on financial performance through staff newsletters or briefings.

Level 2:
- The organisation publishes full accounts clearly on its website

- The accounts clearly set out - Where the organisation spends its money, explanation of budgets, comprehensive overview of key financial indicators, analysis of financial statements, detailed analysis of financial performance, analysis of sources of income

4.2.1

Clear and effective management of the payroll can be evidenced

This indicator links to:
- 6.1.3 Terms and conditions of employment exist which are implemented and communicated.
- 6.4.2 The organisation complies with current legislation on staff wages.

CLARIFICATION

Where applicants buy in labour from other organisations (such as other security companies, or agencies) to enable them to deliver their contracts, the applicant must carry our sufficient due diligence to be able to demonstrate that the standard is being met throughout the supply chain (All of the requirements that apply to employees, also apply to those sourced from other organisations.). This is likely to require some form of supply chain audit including periodic on-site sampling or testing.

Applicants should also refer to the requirements of 3.1.1. Requirements around purchasing and preferred suppliers applies.

Similarly where applicants sub-contract all or part of their services to other organisations, then they should carry out sufficient due diligence to provide confidence that the subcontractor is operating to the ACS standard. Even where the sub-contractor is an approved contractor, some due diligence would be required, although this may be more limited, depending on the risk.

Applicants companies should also refer to the requirements of 2.4.1

All applicant organisations must evidence that they adhere to all relevant legal requirements such as PAYE, National Insurance etc.

The assessor will track a selection of staff through the payroll system to ensure that the requirement is met. Any deductions from pay must be clear to staff.

It is the responsibility of an approved contractor to correctly determine the employment status of all its workers.

When defining a role as either employed or self-employed, approved contractors must comply with all relevant HMRC guidance, including the Income Tax (Earnings and Pensions) Act 2003 (ITEPA).

Approved contractors will need to show the due diligence they have taken in determining the correct employment status of their operatives by looking at the whole working arrangements, including what happens in practice. This must be reflected in the completion of the CEST tool for each role.

People who are subject to PAYE must receive full employment rights of an employee and could include sole traders not on the payroll, but engaged via a payroll company, but subject to PAYE. Should the organisation act as an intermediary, then those subject to PAYE should receive full employment rights.

More information can be obtained online from www.gov.uk/guidance/check-employment-status-for-tax and check employment status for tax. If still unsure, the organisation should contact its local HMRC status inspector for guidance.

Some insurers offer policies that cover organisations for the liabilities of HRMC compliance inspections and the costs of defending against them, however these are not a requirement of the ACS standard.

Please see the **Glossary** for a definition of the term 'labour provider'.

4.2 An SIA approved contractor uses robust processes to manage finances and associated risks

CLARIFICATION (continued)

Deductions

Where the business offers other services or benefits to staff and/or has arrangements such as charging for the 'hire of uniform', they may make a charge to staff, and this may appear as a deduction on their pay slip. How the business does this is for the business to decide, but the business must ensure that staff fully understand what this means to them. This should be part of their agreed contract/terms and conditions, and should be fully documented (both the agreement and the way it appears on the pay slip). The business must be able to evidence this.

Note: Before deductions from pay are made, it should be benchmarked against national minimum wage rates. If an employee has paid for certain things related to their job out of their wages, the employer should deduct these payments to determine if the actual pay rate is above/below the national minimum wage. It makes no difference whether or not the employee has agreed to the deduction. In any event pay after these deductions should/must not fall below national minimum wage.

These payments/deductions are:

- payments for the employer's own use or benefit, for example, if the employee has paid for travel between work sites;

- payments for things the employee needs for the job but are not refunded for, such as tools, uniform, equipment or training;

- benefits such as medical insurance/loss of earnings insurance/ life assurance.

All other payments made out of the employee's wages, such as tax and National Insurance, and certain accommodation expenses where applicable should be included in the employers' calculations when determining the national minimum wage has been paid.

EXAMPLES

Example (charge for SIA licence)
- SIA – specific workers must by law hold a licence. It is the worker's responsibility to ensure he obtains the licence, and his responsibility to pay the fee. If the employer pays the fee and then seeks repayment from the worker, national minimum wage pay will not be reduced (regardless of whether the charge is made by either a payment or a deduction).

Explanation for qualification charges:
- a charge for something, such as a qualification, which is required as a pre-requisite for obtaining employment does not reduce national minimum wage pay;

- however, if the requirement is imposed by the employer and arises from the employment itself, then any charge passed on to the worker would be considered an expense (NMWM11100), and would reduce national minimum wage pay.

Further information can be found at www.gov.uk/hmrc-internal-manuals/ national-minimum-wage-manual/nmwm11230.

4.2 An SIA approved contractor uses robust processes to manage finances and associated risks

Deduction for uniforms:

- as a condition of employment, an employer may require workers to wear specific uniforms. If the employer requires the worker to purchase specific items, such as overalls, then any deductions made from pay or payments made to the employer in respect of those items will always reduce national minimum wage pay;

- if an employer provides a uniform, any charge the employer makes for ordinary wear and tear to that uniform will reduce the worker's national minimum wage pay.

Further information can be found at www.gov.uk/hmrc-internal-manuals/ national-minimum-wage-manual/nmwm11220.

Use of payroll companies:
The following lists due diligence that contractors should carry out when engaging a payroll company.

There are two likely scenarios:
1. ABC Ltd outsources its payroll function to DEF Ltd, but ABC continues to be the employer. In which case obtain:

    - name, address, PAYE reference and VAT number for DEF Ltd, along with number of employees on outsourced payroll;

    - director or controlling individual of DEF: name, address etc.;

    - the circumstances giving rise to ABC engaging DEF?;

    - details of checks ABC conducted to ensure that DEF is a bona fide business;

    - references sought?;

    - what industry experience does DEF have?;

    - contract for payroll provision?;

    - status treatment of workers with DEF: employed or self-employed;

    - details of DEF's fee structure;

    - what exactly does ABC pay for/how is money transferred/ frequency?;

    - copy invoice from DEF ensuring VAT number and bank account details are shown;

    - copy pay slips;

    - checks by ABC Ltd that DEF Ltd is making correct returns to HMRC. and that employee's tax, NIC etc. is remitted correctly;

    - consequences if due diligence is not conducted/responsibility for non-compliance by DEF can be transferred to ABC under s687 ITEPA 2003.

4.2 An SIA approved contractor uses robust processes to manage finances and associated risks

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EXAMPLES (continued)

2. ABC Ltd outsources its payroll and transfers its workers to DEF Ltd who now becomes the employer. In which case obtain the same as 1. in addition to the following:

    - were the workers transferred under Transfer of Undertakings Protection of Employment (TUPE);

    - documentation;

    - which business interviews, hires and fires workers. Who do the workers contact if sick or for any other HR matter?;

    - who do the workers believe is the employer?;

    - copy pay slips/who is shown as employer?;

    - what to check for when reviewing pay slips (for example, does PAYE reference match the name of the company).

In short, you are seeking to establish who in reality is the employer so be subtle about this line of enquiry.

Employment Rights Act 1999 s8 provides employees with entitlement to a pay slip which must show:

1. employee's earnings before and after any deductions;

2. the amount of any deductions that may change each time employee is paid, for example, tax and National Insurance;

3. employers must also explain any deductions fixed in amount, for example, repayment of a season ticket loan. They can choose to do this either on a pay slip, or in a separate written statement.

There is no legal requirement to show the name of the employer and PAYE reference. However, an approved contractor should be able to provide a satisfactory explanation as to why they have omitted such information.

GOOD PRACTICE

- The payroll system can be manually operated.

- Maintenance and accuracy of an automated system is easier to achieve.

- All staff are aware of how their pay is determined and receive written information which shows gross pay, deductions/adjustments and net pay.

- Use of electronic pay slips and automated pay runs.

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4.2.2

The organisation has effective financial management procedures, (i.e. there are sound fiscal controls in place)

CLARIFICATION

An organisation, of any size, will need to demonstrate sound fiscal control, including providing evidence of the management of the financial aspects of all customer contracts, including the costs associated with each of those contacts, such as wages.

The procedures need not be documented, but the applicant organisation should be able to evidence that the procedures are understood and that there is cover within the organisation to maintain accurate and rigorous control in all circumstances.

Whatever method has been adopted, the processes surrounding financial management must be rigorous and cover all aspects of the business. Financial planning, whilst being conducted on a smaller scale, should still be part of the financial management processes with control of cash flow and investments.

An approved contractor will need to demonstrate that it has understood what risks it is exposed to and how it has attempted to minimise exposure to those risks, as well as how it plans to deal with unexpected events that could affect it financially, for example, the sudden loss of a major contract, or a jump in interest rates.

EXAMPLES

The management of the financial aspects of a smaller applicant organisation is likely to be under the sole responsibility of the managing director/owner and may not be computer based. It is likely that, within larger applicant organisations, financial management is conducted via computer-based systems with documented procedures.

Examples could include:

- authorised signatories;
- financial limits:
- contingency planning;
- use of factoring companies;
- written payment policies;
- early payment discounting;
- credit checking suppliers and customers.

GOOD PRACTICE

- Companies will have frequent reviews of their financial position, sometimes as often as daily.
- Profit schemes.
- Independent financial and tax advice.

Please see the **Glossary** for a definition of the terms 'analysis' and 'benchmarking'.

4.2.3

A clear 'fit and proper' management structure with defined and understood authority levels is in place

CLARIFICATION

One of the key elements within this indicator is the need to ensure that the ownership and/or shareholding can be traced and verified. This has a strong link with the requirement for SIA licences for directors, owners and people with significant control and its associated checks, for example bankruptcy.

All statutory directors, owners and people with significant control should hold the appropriate SIA licences and this should be verified at each verification. Refer to SIA website for further guidance: www.sia.homeoffice.gov.uk.

There is likely to be just one level of sign-off for financial matters within smaller applicant organisations. This should be clearly understood and applied throughout the organisation. Financial processes may appear to be more complex with a greater number of levels of authority within a larger applicant organisation. The number of levels should be appropriate to size, and responsibilities for approval etc. should be clearly understood throughout the applicant organisation. Authority levels may be down to cost centre level in the very large applicant organisations.

Directors of security companies who have previously gone into liquidation, administration or receivership within the last 12 months, may not operate as directors of approved contractors. This also applies to partners, and persons with significant control (where they fall under the definition of a director 'shadow director'). (ref Ministerial Direction)

Ref: ISO9001

EXAMPLES

- Authorised personnel for signing of expense claims, purchase orders etc.

GOOD PRACTICE

- Published company structure showing management levels and staff.

Please see the **Glossary** for a definition of the term 'people with significant control'.

4.2.4
There is sufficient insurance to cover contractual requirements

This indicator links to:
• 6.1.2 Staff records are maintained.

Organisations should not pass the cost of business insurance onto its staff, for example, making deductions from pay, salary exchange arrangements etc.

For example:

- health/medical/life/loss of earning insurances are offered as benefits in kind, in exchange for a deduction from pay;
- companies insure against costs of unplanned absence by employees.

The applicant organisation should identify what their insurance covers and how it is relevant and sufficient for their business. For the required achievement level this should be as a minimum, the insurance required for them to operate as a business legally and for the customer contracts they have. These costs should be borne by the business and not passed onto staff.

Exceptions to this might include any other type of insurance such as health/medical/life/loss of earning/unplanned absence/ cover for self-employed individuals/liabilities of HMRC compliance inspections, and the costs of defending against them etc., insurances that are offered as benefits to staff over and above the minimum business requirement as above. In these circumstances, the business may make a charge to staff but staff must fully understand what this means and have a choice to be able to opt in or out, and the business must be able to evidence this.

Organisations should be able to demonstrate how changes to their size, nature of business etc. have been reflected in their annual renewal. Where organisations undertake activities such as security at events on an occasional or seasonal basis, they need to ensure that their insurers are fully aware of the extent and nature of these activities.

Reference should be made to the relevant British standard, where applicable, for appropriate levels of insurance for the sector.

Organisations must be able to demonstrate that they have disclosed any hazardous activities to insurers/underwriters.

Not all the items listed will apply to every organisation. However, where they are relevant to the organisation, it must be able to demonstrate that it has the appropriate level of cover.

Subcontractors must be covered under the organisation's own insurance cover where they do not have their own.

- The business offers critical illness cover to all staff.

4.3 An SIA approved contractor understands the market place and has financial plans to meet or change its strategic direction

4.3.1

The organisation conducts effective analysis of the market place in which it operates

This indicator links to:

- 1.1.3 A plan for the business exists with an effective review schedule.

CLARIFICATION

The scope of this indicator will vary dependent on the geographical area covered by the applicant organisation. If the customer base is regionally based, then an understanding of regional needs and developments is required. Should the customer base be national, a broader understanding would be required. The applicant organisation should be able to demonstrate that any intelligence gathered is used to inform actions and planning.

Larger organisations may have a specialist commercial team within the larger of applicant organisation.

EXAMPLES

- New legislation.
- Licensing requirements.
- Competitor activity.

Level 3:
- Contractors can use the benchmarking data provided by the SIA that compares the scores of all standard route approved contractors.
- Contractors can also choose to use proprietary products such as the Plimsoll analysis (https://www.plimsoll.co.uk) which compares data from companies around the world, and draws its information from accounts filed at Companies House, and identifies trends in company performance.

GOOD PRACTICE

- Organisations promote the benefits of their approval as part of their marketing activities.

Please see the **Glossary** for a definition of the terms 'analysis' and 'benchmarking'.

4.4.1

The organisation regularly reviews performance against key financial indicators critical to the business

- 1.1.3 A plan for the business exists with an effective review schedule.
- 1.2.1 Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement.
- 1.2.2 Goals, objectives and targets are clearly visible for all levels of the organisation.
- 1.5.1 The organisation regularly reviews performance against success factors and performance indicators.
- 4.1.1 The organisation has the funding available to achieve its plan for the business.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

This indicator focuses on how the applicant organisation knows that its processes are delivering the desired financial outcome, for example, how effective are these processes? Are processes achieving what the organisation wants them to achieve? How successful is the organisation?

The applicant business should draw on its financial plans for the business and the forecasts and targets that are part of that plan. The processes and procedures in place to achieve the plans for the business should have measures and be reviewed to check that they are working effectively to achieve the plans for the business.

Organisations should be able to provide examples of actual financial results or outcomes achieved against their own targets and against industry benchmarks.

Some analysis of trends over time should also be carried out.

EXAMPLES

Financial outcomes such as:
- turnover;
- profit;
- net profit;
- loss;
- balance sheet;
- sales;
- meeting of budgets;
- cash flow;
- costs;
- depreciation.

Other 'measures' that may be appropriate could be:
- payment of invoices against payment timeframes;
- improved credit ratings;
- profit against forecast;
- less and more profitable contracts;
- turnover against forecast;
- debtor days;
- contract value;
- number of contracts against business plan;
- assets and overheads;
- increasing/decreasing; lost leaders (acceptable for larger businesses but not practical for small/micro business);
- loans – reducing/increasing;
- cost of travel and other business expenses;
- factoring costs;
- contingency funds, for example, major contract loss, cash flow, investments.

GOOD PRACTICE

- Use of charts and graphs to illustrate performance against targets. Publication and sharing of information to all staff and customers. Publicity around key successes.

Please see the **Glossary** for a definition of the terms 'key', 'measures (and indicators)' and 'performance'.

Criterion 5: **Resource management**

An SIA approved contractor has sufficient technical resources to sustain its business and meet the relevant industry standards.

Note:

There are elements within this criterion which cover the legislative requirements of conducting a business.

It is your responsibility to provide a truthful assessment of your performance.

1. You should familiarise yourself with the key points of some of the legislative requirements. The Gov.UK website (www.gov.uk) is a trusted source of information relevant to many of the legislative requirements within the ACS standard.

This criterion is composed of three sub-criteria

The SIA approved contractor can demonstrate that it:

5.1   uses effective management information systems for all aspects of its business;

5.2   has sufficient and suitable premises, procedures and equipment to conduct business effectively;

5.3   measures and improves performance in the management of resources.

5.1 An SIA approved contractor uses efficient management information systems for all aspects of its business

5.1.1
Relevant versions of documents are available at the point of use

5.1.2

The organisation complies with legislation on the handling of and protection of data

CLARIFICATION

'Information' referred to in this section relates to all the information held by an organisation including that held on personal computers. This section is looking to determine how well an organisation manages records and information.

The applicant organisation will need to comply with the requirements of the General Data Protection Regulation (GDPR). Information is available from the Information Commissioner's Office here: www.ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/.

There are statutory requirements for the keeping of personnel records and financial records: www.gov.uk/paye-for-employers/keeping-records. This is a useful link for information pertaining to the statutory requirements. Applicant organisations may wish to refer to the current British standard relating to information security.

The applicant organisation needs to be aware of the requirements of the Data Protection Act 2018 and to have implemented them. The websites www.gov.uk and www.ico.gov.uk provide a useful guide to the GDPR seven key principles (rules) for data protection and other relevant information, such as training requirements.

Where applicable (10):

Licence management service users are required to notify us of any security breach. A security breach is where systems, passwords or machines are compromised, for example, passwords/accounts being used by unauthorised persons, operators leaving licensing screens open and accessible for long periods of time when others could freely access, findings from penetration testing that reveal system compromise. Reporting of breaches to the SIA should include:

- a confirmed breach that relates to any aspect of the licensing activity/processes;

- other significant security incidents, for example, where there is a significant compromise to the business's overall system(s) (that is, not restricted just to licence processing activity), that could compromise the integrity of the SIA licensing system.

The organisation should investigate any breach and take action to prevent recurrence.

The SIA remains of the view that both the SIA and licence management businesses would be treated as data controllers in respect of all personal data managed through the Portal, and that each organisation would have its own obligations under the Data Protection Act.

By using the Portal, licence management businesses are:

(a) carrying out a business process for their own purposes (that is, managing licence applications so that their staff/contractors can work for them); and

(b) using the data for their own purposes (that is, to manage the contractor/employment relationship they have with the licence applicants). On this basis, licence management businesses cannot be considered as data processors.

Ref: ISO9001; BS7858; BS7960; BS7958; BS7499; BS7984

5.1 An SIA approved contractor uses efficient management information systems for all aspects of its business

An organisation publishes guidelines for staff on what information is retained by the company and what information may be released by staff.

A business is required to obtain consent from the individual to process their personal information for the purposes of making licence applications. This is already an obligation under DPA. A business is required to demonstrate that it has obtained that consent – this necessarily means that there should be some form of documentary evidence. Most businesses currently obtain this type of consent through the recruitment process (for new staff) and job application form, however the business's DPA statements may need to be amended to include the purpose of licence processing. Businesses that have developed their own internal systems/forms for use as part of the licence renewal process may need to amend their forms to incorporate the relevant consents. A business may wish to take its own legal advice on DPA.

GOOD PRACTICE

- All staff receive training outlining their individual and organisational responsibilities for data protection compliance.

- A free audit by the ICO is requested and completed to confirm data protection obligations are being met.

Important things to consider:

- what are the organisation's procedures for backing–up information?;

- are records stored securely?;

- what is kept in relation to financial records? For example, accounts, invoices, expenses.

5.2 An SIA approved contractor has sufficient and suitable premises, procedures and equipment to conduct business effectively

5.2.1

Lease or ownership papers are appropriate to the business premises, providing administrative and any operational centres that are fit for purpose

The assessor will be looking for how the ownership of the premises is managed. For example:

- if the property is on lease – what is the time left on the lease and what preparation has been conducted for the end of the lease?;
- if the property is rented – what planning is in place for the loss of the property?

The size and location of all premises should be applicable to the size and nature of the business. All organisations are required to have administrative offices that are 'fit for purpose'. It is recognised that smaller organisations may not have separate premises from the owners' home but the ACS standard requires that these are equipped and maintained such that records, including training records, all professional and business documents, files, certificates, correspondence, staff details etc. that are necessary to the proper conduct of business transactions are securely kept.

The address for correspondence and promotional material should comply with the disclosure requirements as laid out in company law. See https://www.gov.uk/government/organisations/companies-house and https://www.gov.uk/government/publications/incorporation-and-names/incorporation-and-names

Should an organisation make use of a virtual office solely for the duration and/or purpose of the assessment, then a visit to the normal place of work (for example, the home of the proprietor) should be undertaken to sample the various policies, procedures and processes.

Where virtual offices are used, an organisation should demonstrate conformance with relevant indicators covering strategy (for the use of virtual offices), procurement, suppliers and performance (of suppliers), as well as others where due diligence is required (for example, relating to health and safety, welfare, information security, equipment), as if the premises are their own.

Organisations using virtual offices should be mindful not to mislead the public or customers. For example there is a balance between using a virtual office to present a professional image and promoting the business, the reality of the nature, size and scope of the business, and the legal requirements of a registered company address.

Disclosure of company details

Regulations made under the Companies Act 2006 require a company to display its name at its registered office and other places of business, on business documents and on websites. The purpose of the regulations is that the legal identity of every company should be revealed to anyone who have, or may wish to have, dealings with it. The requirements are included in the Company, Limited Liability Partnership and Business (Names and Trading Disclosures) Regulations 2015 (SI2015/17).

The company must include its company name in characters legible to the naked eye at its registered office, the location where the company keeps its company records and in all places of business, on all websites, all business letters and notices, all cheques, order forms, invoices, demands for payment and other business correspondence (whether paper or electronic). If any such office, location or place is shared by six or more companies, each such company must ensure either that its registered name is displayed for at least 15 continuous seconds at least once every three minutes (for example on an electronic display), or that its registered name is available for inspection on a register by any visitor to that place.

Please see the **Glossary** for a definition of the terms 'virtual office space' and 'virtual office service'.

5.2 An SIA approved contractor has sufficient and suitable premises, procedures and equipment to conduct business effectively

CLARIFICATION (continued)

In addition, all websites, business letters and order forms must state the company's country of registration, its registered number and the address of the registered office. Further, all business letters must contain the names of either all or none of the directors.

If the company trades under a business name, the above requirements must still be met.

Stationery, websites and signs for the company must therefore be prepared in accordance with these rules.

Ref: ISO9001

EXAMPLES

Assessors will consider:

- adequate lighting and sanitary facilities;
- workstation assessments;
- adequate storage and waste disposal;
- heating and lighting;
- restroom;
- fire and emergency equipment;
- general housekeeping.

GOOD PRACTICE

The organisation ensures that the work environment has a positive influence on motivation, satisfaction and performance of people in order to enhance the performance of the organisation. The organisation proactively gathers feedback from staff about their views of the suitability of the work environment, what improvements could be considered, and the effectiveness of any improvements that are implemented.

5.2 An SIA approved contractor has sufficient and suitable premises, procedures and equipment to conduct business effectively

5.2.2

Control rooms/response rooms are designed, fitted and equipped in a manner appropriate for purpose

The requirements for a 'control room' in terms of the manned guarding, key holding and CCTV sectors are clearly laid down in the relevant British standards. For other sectors the specifications of a control room do not have to be so stringent.

Ref: ISO9001

For example, the 'control room' for sectors such as door supervision and vehicle immobilisation could simply be an area within the 'head office' where phone calls from operatives are taken. However, it must be 'fit for purpose' and adequate to ensure the safety of staff in an emergency situation, so that issues can be recorded and monitored. The organisation is responsible for ensuring a control room is fit for purpose even when it outsources the provision of a control room from a supplier.

Where the control rooms/response rooms are outsourced, the organisation must ensure that the control rooms/response rooms are fit for purpose.

Please see the **Glossary** for a definition of the terms 'control room' and 'response room'.

5.2 An SIA approved contractor has sufficient and suitable premises, procedures and equipment to conduct business effectively

5.2.3

Equipment owned is recorded, adequately maintained and appropriate for its purpose

CLARIFICATION

No matter the size of the applicant organisation, if there is any equipment used in the running of the business or in service delivery there must be a form of asset management in place. The applicant organisation must be able to demonstrate that the method used, be it a manual list or simply a folder of receipts, enables them to meet the requirements of the ACS standard in terms of control, maintenance, etc.

The more equipment owned and used by an applicant organisation the more robust approach to control and management is required. It is not necessary that it is computer based but evidence should be presented to meet the requirements of the ACS standard in terms of control, maintenance, etc.

Procedures should be in place to ensure that any customer property or equipment is subject to the same due care and attention required for their own equipment. Such equipment should be separately identified and kept fit for purpose.

Ref: ISO9001

EXAMPLES

- Equipment registers.
- Maintenance schedules.

GOOD PRACTICE

Review of results from maintenance tests to identify any common faults.

5.2 An SIA approved contractor has sufficient and suitable premises, procedures and equipment to conduct business effectively

5.2.4

Service delivery to customers and safety for staff are improved by investment in technology

CLARIFICATION

The implementation and use of technology may be limited by cost, and in its use at customer sites. The ACS standard requires that applicant organisations explore technological solutions, however simple, to improve service delivery and staff safety.

Where contractors identify new technologies, they should be able to demonstrate how they are being used to improve service delivery and/or staff safety. It is not sufficient for them to simply describe or demonstrate new technologies that appear to be a good idea, without some sort of analysis, testing and review.

The type and sophistication of the technology in use or proposed for use at a customer site should be in line with the size and resources available.

It would be expected that technological solutions would be more readily researched by the larger applicant organisations and be available to improve service delivery or to offer greater value for money within customer contracts.

EXAMPLES

- GPS and mobile tracking technology, emergency buttons, etc.
- Training is delivered to staff to ensure new technology is used effectively.

GOOD PRACTICE

- Pre-evaluation of technology prior to purchase to ensure requirements are met.
- A bar coding system to track issue and return of equipment to individuals.
- An electronic key tracking system, operated by the fingerprint of authorised users; it automatically records the ID of the user, key number, time and date withdrawn. If the key is not returned within a specific time it will automatically generate an alarm to inform management that the key has not been returned.

Please see the **Glossary** for a definition of the term 'service delivery'.

5.3.1

The organisation regularly reviews the management of resources and data

This indicator links to:

- 5.1.1 Relevant versions of documents are available at the point of use.
- 5.1.2 The organisation complies with legislation on the handling and protection of data.
- 5.2.3 Equipment owned is recorded, adequately maintained and appropriate for its purpose.
- 6.1.3 Terms and conditions of employment exist which are implemented and communicated.
- 6.1.4 A disciplinary and grievance procedure is in place which is implemented and communicated.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

This is a results indicator where the applicant organisation can provide quantitative measures relating to the management of resources. Measures should be in place to cover all aspects of resource use. Without quantitative measures in place the applicant organisation cannot demonstrate positive trends and/or sustained good performance or improvements in performance.

Resources may include:

- information systems (includes risk assessments, document storage, training and awareness in data protection compliance with ICO guidance);
- premises (includes virtual, work station assessments carried out);
- procedures (for example, review of document control);
- equipment (for example, control/response centre provision, vehicles, radios, cameras, CCTV, office equipment, site equipment including microwaves, heaters).

EXAMPLES

- Compliance with data protection laws, including GDPR requirements.
- The appropriateness of the working environment to business needs.
- Maintenance of equipment in a state which is fit for purpose.
- Equipment lists.
- Maintenance schedule.
- Software updates.
- Equipment replacement timescales.
- Breakdowns.
- Data breaches.
- Incorrectly installed equipment or applications (accidents, health and safety, etc.).
- Complaints of defective equipment, staff/client feedback. Heating, lighting and ventilation (legislative requirements, for example health and safety minimum temperature).
- Appropriate use of resources – breakages, damages, repairs, service/ maintenance records. Vehicle trackers, etc.
- Log mileage and fuel use for mobile officers and use monitoring information to review patrol routes and/ or driving behaviour. This can be used to develop targets, and/or inform efficiency savings and/ or safety improvements.

Please see the **Glossary** for a definition of the terms 'measures (and indicators)', 'performance' and 'resource'.

Criterion 6: **People**

An SIA approved contractor develops and implements plans to ensure its people are suitably trained, developed and cared for.

General:

There is a requirement for all applicant organisations (regardless of the number of staff) to be compliant with:

- legislation;
- licensing requirements;
- screening procedures.

One of the key aims of the ACS is to transform the private security industry and to make it a career of choice. The way in which organisations within the private security industry treat and provide for their staff will be a major factor in achieving this aim. Fear of reprisals when disagreeing with 'company line' is not acceptable.

Not all human resource policies and procedures will be documented in every applicant organisation, especially small organisations. Where policies and procedures have a direct impact on staff, such as grievance, disciplinary and training it would be expected that they are readily and easily available to all staff. Documented policies and procedures are the preferred way and should be encouraged. Staff should be aware of the human resource policies that impact them and you should check awareness.

Note:

1. There are elements within this criterion which cover the legislative requirements of conducting a business. It your responsibility to provide a truthful assessment of your performance.

2. The Gov.UK website (www.gov.uk) is a trusted source of information relevant to many of the legislative requirements within the ACS standard.

This criterion is composed of five sub-criteria

The SIA approved contractor can demonstrate that it:

6.1 manages its people effectively;

6.2 deploys competent people;

6.3 appropriately supports its people;

6.4 complies with its legal obligations when employing people;

6.5 measures and improves staff performance and perceptions of the organisation.

6.1.1
There is an effective recruitment policy

CLARIFICATION

The main focus of this indicator is the screening and vetting of staff to a high standard. Whilst there are a number of screening and vetting standards in existence, any standard being used should meet the stringent requirements within BS 7858, or the organisation must be able to justify deviations (and have these accepted by the insurer). The Gov.UK website provides a useful step by step guide for employing someone (www.gov.uk/employ-someone?step-by-step-nav=dc77c606-cc6b-49ac-9f40-b96959d02539).

Guidance on checking staff members' right to work can be found at www.gov.uk/government/collections/right-to-work-checks-employer-guidance.

There is a statutory requirement to maintain employment records and to ensure that all employment adverts are non-discriminatory. Further information on this can be found on www.acas.org.uk/media/pdf/c/a/Acas_Personnel_data_record_keeping-accessible-version-July-2011.pdf.

Licences must be checked regularly to ensure they are still valid. Work permits and visas must also be checked to ensure that staff are still eligible to work. The organisation must ensure that any visa conditions are complied with. For example, many foreign students are limited to working a set number of hours. Some may not be eligible to work in a sector that is not in direct connection with their degree course.

Employers will be able to rely on an online Right to Work Checking Service to demonstrate compliance with illegal working legislation. The Home Office Right to Work Checking Service available on GOV.UK gives employers access to up-to-date, real-time information about migrants' right to work, making it easier for individuals to prove their rights in the UK. The Right to Work Checking Service is secure and free to use: www.gov.uk/check-job-applicant-right-to-work.

Organisations should have a robust process for the management of licensing (including renewals) and the licence dispensation process. Controls should be in place, and records maintained to demonstrate:

- the level of LDNs issued does not exceed 15%;

- LDNs are correctly issued according to the published guidance (in particular the five-week limit and that applications have reached the correct stage in the application process);

- Approved contractors authorised by us to deploy staff under a licence dispensation notice must ensure at all times that there is at least one relevant person within the business competent to issue a licence dispensation notice. That person must understand their obligations, follow our guidance on licence dispensation and refresh their knowledge and understanding every year.

Ref: ISO9001

EXAMPLES

- The organisation considers the implications of legislation when placing job advertisements, for example the Equality Act 2010.

GOOD PRACTICE

- The company uses SIA licence management or licence assist services and pays for the operative's licence.

6.1.2
Staff records are maintained

The manner in which staff records are maintained should be appropriate for the size of the applicant organisation, that is not necessarily computer based, but in all cases it should be secure and confidential.

The requirements of BS7858 or similar standards (as well as data protection legislation) as required in indicator 6.1.1 on the maintenance and storage of recruitment records should be adhered to. In addition, records should include details of licence dispensation notices such as date of issue, expiry, SIA unique reference number, SIA acknowledgement letter, details of any licence appeals, visas and work permits.

Organisations should check licences regularly against the public register and maintain a copy of the website screenshot as part of due diligence. The organisation could also use the SIA watchlists to check licences. Details of driving licences for any staff using company vehicles should be regularly checked, and a record of these checks kept on file. Similarly, insurance details for private vehicles used should be checked to ensure they are appropriately insured (for example, include first class business use). This statement is not applicable for those organisations which do not operate company vehicles.

HMRC have identified increasing problems in the security industry with fraud and unpaid taxes through the use of labour providers. It is good commercial practice for all businesses to carry out checks to establish the credibility and legitimacy of their suppliers. Approved contractors should seek to avoid involvement in supply chains where VAT and/or other taxes will go unpaid.

Details on due diligence for the use of labour providers can be found at:

www.hmrc.gov.uk/leaflets/labour-providers-due-diligence.pdf.

Please see the **Glossary** for a definition of the term 'labour provider'.

6.1.3

Terms and conditions of employment exist which are implemented and communicated

This indicator links to:

· 4.2.1 Clear and effective management of the payroll can be evidenced.

CLARIFICATION

There is a statutory requirement for contracts of employment to be issued to all staff within eight weeks of starting. The ACS standard requires information, above the statutory requirement, to be included in the contract to take into account the nature of the industry.

It is acceptable that contracts are issued at the end of a 12/16 week screening probation provided that the information that would be included in a contract is provided in writing to the staff member within eight weeks.

Further information can be obtained from www.gov.uk/employment-contracts-and-conditions.

EXAMPLES

Benefits statement could include such things as:

· pension;

· provision of uniform;

· holiday pay and entitlement.

6.1.4

A disciplinary and grievance procedure is in place which is implemented and communicated

CLARIFICATION

There is a statutory requirement for all organisations to provide to all staff a copy of a company specific disciplinary procedure that meets minimum requirements. This procedure should be followed when necessary.

The ACS standard is looking for applicant organisations to provide a grievance procedure, i.e. a procedure that enables staff to formally raise issues with the way in which they are treated by the organisation, which is known by all staff and is followed when necessary.

This requirement helps to provide organisations with the ability to dictate their own procedures rather than use the default statutory procedure.

Organisations should be able to demonstrate that policies and procedures are effectively implemented, communicated and understood at all levels.

GOOD PRACTICE

Acas provide additional information on good practice in the contents of disciplinary and grievance procedures should the organisation require additional assistance in the creation of a procedure. The Acas Code of Practice on disciplinary and grievance procedures gives practical guidance for handling these issues in the workplace: www.acas.org.uk/index.aspx?articleid=2174.

6.1.5

A policy exists covering 'Transfer of Undertakings' which is implemented and communicated

CLARIFICATION

Smaller Organisations may not have a procedure in place to deal with the event of TUPE. They should demonstrate what is required if they are in a process where TUPE applies.

Larger applicant organisations may or may not have a TUPE policy depending on their strategy. Where there is no strategy, key personal should be aware of the legal requirements that apply. The TUPE regulations apply:

(a) When a business or undertaking, or part of one, is transferred to a new employer; or

(b) When the service provision change takes place, for example, where a contractor takes on a contract to provide a service for a client form another contractor.

Directors are expected to be aware of the existence of TUPE for the two conditions that apply above. Where there is a strategy for expansion then a policy to follow TUPE should exist. If there is clear evidence that there are no plans to expand and this can be demonstrated then n/a can be applied to this indicator. Approved contractor's must cooperate fully with each other in the exchange of TUPE information and must exchange information in a timely fashion.

Further information can be obtained from www.gov.uk/transfers-takeovers.

GOOD PRACTICE

The organisation may wish to monitor TUPE staff more closely during the initial period of their employment, to ensure a seamless transition. For example, some companies use a different appraisal process initially to ensure any concerns or issues are picked up in a timely manner. Other companies file TUPE staff records in different coloured files to distinguish them from existing staff and to enable more effective monitoring.

6.1.6

Roles and responsibilities are defined for all staff and communicated to them

SIA licensing should be taken into account when defining roles and responsibilities of all staff. In particular the boundaries of their roles must be clear in order to prevent them inadvertently moving into licensable activities, for example security guards working near licensed premises or at events, security guards who operate CCTV that could include PSS CCTV, or people not usually working in licensable roles such as cleaners or receptionists who regularly have to cover for a licensable person.

Similarly, we are aware that some contractors choose to license individuals even though they may not be carrying out licensable activity (for example, in-house), or may not be carrying out activity in a particular sector, for example a security guard who happens to work in a control room is not necessarily licensable in the PSS CCTV sector, and may only require an SG licence.

In smaller applicant organisations there may be fewer defined roles with responsibilities assigned to few people or in some case, one individual. Within larger organisations roles and responsibilities should be very clearly defined especially where there may be specific roles and responsibilities for each customer site or where staff move between sites.

Everyone in the applicant organisation should understand their own role and responsibilities and how they fit into the organisation's structure.

For companies providing security to events – refer to www.sia.homeoffice. gov.uk for the most up to date guidance.

6.1.7

A defined policy related to equality and diversity exists which is implemented and communicated

CLARIFICATION

'Diversity' is a generic term for all legislation relating to any form of discrimination on the grounds of:

- race; gender; age; sexual orientation; disability.gender reassignment; pregnancy and maternity; religion or belief.

It is more than 'equal opportunities' as it requires positive action. All organisations are required to demonstrate they understand and comply with the legislation. It is possible that there may not be a specific equality and diversity procedure, but a collection of policies such as equal opportunities, harassment, etc. that together promote diversity.

Organisations should be able to demonstrate that people are treated fairly, and that policies and procedures are effectively implemented, communicated and understood at all levels.

Level 1

Taking measures to stop discrimination happening - Introduce an equality policy.

The starting point for an organisation or business, whether large or small, to promote fairness at work is an equality policy. It can refer to and interact with other policies – for example, discipline, and bullying and harassment.

When developing an equality policy, an employer should consult with employees and their representatives, if there are any. Any existing consultation and/or negotiating arrangements with employees or their representatives should be followed.

As well as talking to employees, an employer could at this stage also conduct an equality impact assessment (EIA) to try to pick up on any issues ahead of drawing up the policy and its action plan. There is more on EIAs and the action plan later in this guide.

A policy should include, for example:

- the organisation's commitment to provide equality for all its staff and job applicants – and that pledge should stem from the head of the organisation such as the boardroom, chairman or chief executive

- its aim to encourage, value and manage diversity in the workforce

- its goal to attain a diverse workforce which is representative of the areas it is drawn from and the customers it serves

- that the organisation will seek to provide a workplace where all employees can give their best, where discrimination, bullying, harassment and victimisation will not be tolerated, and decisions are based on merit (apart from limited exceptions allowed under the Equality Act).

- that breaches of the policy will be regarded as misconduct, and dealt with through the organisation's disciplinary procedure.

Acas has developed a sample equality policy which employers can adapt to their own needs and can be found at www.acas.org.uk/templates

Please see the **Glossary** for a definition of the term 'diversity'.

6.1 An SIA approved contractor manages its people effectively

CLARIFICATION (continued)

Level 3

The applicant should do more than simply having relevant polices, and/or targets (where for example equality and diversity is no more than a box-ticking exercise to fulfil artificial recruitment quotas), but can show that its approach has led to improved business performance.

Applicants demonstrate committment to improving equality and diversity within the security industry when they make it a driver in their supply chain requirements.

The applicant may run or involve itself in relevant networking activity such as gender balance networks, or women in security groups, or offer, promote or partner relevant apprentiship schemes for young people across the industry.

Applicants contribute to, or involve themselves in initiatives, or may be nominated for awards such as the National Diversity Awards, https://nationaldiversityawards.co.uk/about-us/

EXAMPLES

Information of employers' responsibilities: equality monitoring can be found at www.gov.uk/employers-responsibilities-equality-monitoring. Acas provide examples of an equality policy template (https://www.acas.org.uk/equality-policy-template) and equality and diversity monitoring form template (www.acas.org.uk/media/word/c/9/Equality-and-diversity-monitoring-form-template.doc). Additional information on preventing discrimination can be obtained at www.gov.uk/employer-preventing-discrimination should the organisation require additional assistance in the creation of a procedure.

Please see the **Glossary** for a definition of the term 'diversity'.

6.1.8

A process for obtaining staff opinions on the organisation, their job and conditions exists and is implemented

CLARIFICATION

There is a requirement within the ACS that all applicant organisations take steps to gather the opinions of their staff on the way in which the organisation is run. This would be an opportunity to establish such things as understanding of the approach to business, level and effectiveness of communication, and understanding of roles and responsibilities. The approach to opinion gathering should be appropriate to the size of the applicant organisation. For example, it would not be expected that an applicant organisation with ten staff members conducts a formal opinion gathering exercise, where it would be considered the best approach in an applicant organisation of 500 staff members.

There are a number of options that would suit organisations in between, for example the organisation may have set questions to be discussed with all staff as part of general discussions, with the results being consolidated into percentages or numbers, or the organisation's joining and exit interviews are another way to obtain staff opinions.

With larger applicant organisations with a more formal approach to gathering the opinions of their staff, the data could then be segmented for more targeted action planning.

Organisations should be able to provide examples of feedback from staff, including an indication of how the organisation has responded, and any action taken as a result.

EXAMPLES

- Appraisals.
- Suggestion box.
- Open door management policy.
- Staff forums/chat rooms.
- Staff surveys/questionnaires.

GOOD PRACTICE

- The opportunity to provide feedback anonymously.
- Publicise outcomes to staff in a timely manner, along with reasons where action may not be possible.

Please see the **Glossary** for a definition of the term 'performance'.

6.2.1

Staff training, development and improvement policies and procedures are in place, and are implemented and communicated

CLARIFICATION

The ACS standard requires applicant organisations to have procedures in place to ensure that all staff have the relevant training to obtain an SIA licence and to provide additional and ongoing training to these staff to maintain and improve their effectiveness in their role.

Approved contractors authorised by us to deploy staff under a licence dispensation notice must ensure at all times that there is at least one relevant person within the business competent to issue a licence dispensation notice. That person must understand their obligations, follow our guidance on licence dispensation and refresh their knowledge and understanding every year.

All relevant staff, including those not licensable, should be aware of this commitment to continue their professional development.

Where applicable: the applicant organisation should ensure that staff have read and understood and work to the licence management partnership agreement, including the code of connection, and the licence management manual.

GOOD PRACTICE

- Local police officers and/or other stakeholders participate in the training and induction of new staff.

- Staff receive a passport style training record. Each element of training received is entered into the passport as a constant record of competence and skill base. Staff can scan it using a QR code which then links directly to the training portal on the company website.

6.2.2

An induction pack/ training including an introduction to policies and procedures exists

This indicator links to:
· 6.1.1 There is an effective recruitment policy'.
· 6.1.5 A policy exists covering 'Transfer of Undertakings' which is implemented and communicated'.

CLARIFICATION

The presentation and layout of an induction pack is not a key feature, although it would be expected that a larger applicant organisation would have a more standard 'brochure' style or online approach. It is essential however that the key items listed in the ACS standard are included in the pack.

Where organisations tend to focus on individuals' training needs, the following link provides useful information: www.security-institute.org.

EXAMPLES

Acas provide useful information on 'What should be on your induction programme for new recruits?' (www.acas.org.uk/index. aspx?articleid=5714).

GOOD PRACTICE

It would be considered good practice if the information is provided in such a manner as to be easily used as a reference source for staff.

· Some organisations have developed e-learning induction and refresher packages for staff.

· Regular performance review or monitoring, post-induction to reinforce key issues.

· Inclusion of information on the SIA, licensing, the ACS standard and licensing dispensation.

· Simulation facilities (for example, a control room, a bank counter) for new staff to develop new skills in a safe environment.

· The organisation issues an induction workbook that is completed over a three-month period to ensure understanding of key policies and procedures.

6.2.3
All staff are trained to the required standard

All frontline staff are to have undergone training to obtain the relevant SIA licence, followed by additional basic job training on the procedures of the organisation. Where there is no training requirement for licensing purposes, for example, non-frontline licence holders or key holders, then there is still a requirement to provide role-specific training. This is supported by, where relevant, subject specific and equipment training such as first aid, firefighting etc.

By 'licence-linked training' here, we mean the minimum qualification needed to achieve the competency requirement of the appropriate SIA licence. It is important that the basic competence of all staff is tested before deployment. In some cases, licence-linked training may be many years old and staff may have done no refresher training. Likewise, new licence holders may have recently completed the training, but not yet implemented it in a real environment.

This indicator may be particularly relevant for staff working as security guards with a door supervisor licence.

Testing of competence and skills assessment may take place through targeted questioning, such as scenario posing, at interview and/or completion of a questionnaire, at recruitment and/or completion of a test or exam before deployment, for example, completing an incident report.

Information on the specifications for licence-linked training can be found here: https://www.gov.uk/guidance/check-what-training-you-need-to-get-an-sia-licence. These can be used by organisations to help design the appropriate method of testing.

For staff who are used infrequently, (such as casual or events staff) a more flexible approach can be adopted, for example, through risk assessment by event or deployment.

The effectiveness of any training should be assessed. Training need not necessarily be attendance on a specific training course. Mentoring and specific guidance in good leadership practice may be considered as well.

6.2 The SIA approved contractor can demonstrate that it deploys competent people

EXAMPLES

For people who only provide key holding services, there is no licensing training requirement, therefore the organisation should ensure that relevant training is provided in order to ensure competency.

Licensed door supervisors and close protection officers who are employed in a security guarding role, should receive as a minimum, training equivalent to that required for the SIA security guarding licence.

Consideration should also be given to licensable staff who may benefit from the physical intervention training module, such as retail security staff in particular, as well as staff holding close protection licences to perform work as door supervisors.

Training needs analysis or competency-based analysis to drive future training requirements and plans.

GOOD PRACTICE

- A specific licence-linked refresher training module, which can be used by new starters and existing staff.
- Online refresher training package, which staff can work through in their own time.
- Managers complete licence-linked qualifications or recognised security management qualifications such as:
  - degree/foundation degree in Security Management, Risk Management, Crowd Management, Terrorism;
  - diploma in Security Management, certificate in Security Management;
  - NVQ in Security Operations/Management;
  - information on security management qualifications can be found at the Security Institute www.security-institute.org.

Subjects of interest for training may include:

- health and safety at work;
- protection of premises and property.

6.2.4
Assignment-specific training/induction/ information is given

CLARIFICATION

Assignment instructions refers to any instructions given to a staff member in order for them to be able to carry out their role on a given customer contract.

There may be some sectors such as CVIT where it is not possible to keep new staff under supervision. The applicant organisation should have procedures in place to ensure that in such cases, the assignment is within the capabilities of the new staff, and provision is made to discuss issues and concerns at the end of every day.

EXAMPLES

The CVIT sector have 'safe systems of work', which all operatives are expected to abide by in all situations.

6.2.5
All staff have training plans and records

CLARIFICATION

The training required to obtain an SIA licence would be considered as professional and vocational training for the purpose of this indicator.

If a staff member is already licensed when employment starts, it is possible that the full training records may not be known. The applicant organisation should be aware of when the licence and any required retraining is due for renewal.

Ref: ISO9001

GOOD PRACTICE

- Organisations deploying close protection staff should maintain records of first aid certificates and monitor the need for renewal.

- Record should also be kept of all training undertaken and professional development needs of staff.

6.3.1
A holiday entitlement policy is implemented and communicated

CLARIFICATION

A holiday entitlement policy entitling staff to the statutory minimum is a statutory requirement. The ACS standard requires the applicant organisation to encourage staff to take their full entitlement.

When we refer to 'rolled-up holiday pay', we mean instances where a company is paying one or more employees an amount for holiday pay in the hourly rate (and/or at pay points other than when holiday is taken) instead of holiday pay being paid for the time when annual leave is taken.

We consider this practice to fall below the ACS standard (6.3.1) as it does not encourage employees to take their full entitlement. Moreover, it is not legal. The SIA has sought independent legal advice on the issue of rolled-up holiday pay, which has confirmed that our position is correct.

Should the ACS assessors observe a SIA approved contractor deploying this practice, an Improvement Need must be raised. If a current employment contract still includes rolled-up pay, it needs to be renegotiated.

We are aware that the above is not universally understood and some believe rolled-up holiday pay can be legitimately used. It cannot. We are also aware that businesses may find this inconvenient or difficult, but that does not change our position.

Where employers may find it difficult to work out what holiday pay someone is entitled to, particularly if they work variable hours and/or only occasionally, the following websites provide useful information:

- www.gov.uk/holiday-entitlement-rights/holiday-pay-the-basics

- www.m.acas.org.uk/media/pdf/r/c/Acas-guide-Holidays-and-holiday-pay.pdf

Note: There are references in both the self-assessment workbook – regarding conformance with legislation on pay (4.2.1) and regarding contracts of employment including details on pay and allowances (6.1.3), and the self-assessment workbook guide – under 4.2.1, 4.2.2, 6.1.3, 6.3.1, 6.4.2 includes further reference to holiday pay and relevant guidance.

GOOD PRACTICE

- Staff are given a duty roster three to six months in advance to help staff maintain a work-life balance.

- Holiday entitlement exceeds the statutory minimum by at least five days.

- Additional holiday allowance on an incremental basis according to a defined period of service that encourages and rewards long service.

6.3.2

A pensions policy exists which is implemented and communicated

CLARIFICATION

The ACS standard requires organisations to take some responsibility for ensuring all eligible staff are aware of the risks of not providing for their retirement. We recognise that many employers will already have pension provision for their workers, and that this will often match or exceed the minimum requirements contained in the duties. In these cases, such employers may just need to check that the minimum requirements are covered in their existing processes.

The employer must make arrangements so that the terms and conditions of the personal pension scheme being used for automatic enrolment, re-enrolment or enrolment are given to the jobholder. Whilst in practice, the provider may issue the terms and conditions, it remains the employer's responsibility under the law to make arrangements for this to happen.

Further information on the statutory requirements relating to the provision of pensions, including auto-enrolment can be found at www.gov.uk/workplacepensions.

The Pensions Advisory Service www.pensionsadvisoryservice.org.uk or the regulator www.thepensionsregulator.gov.uk both provide free and impartial advice, including lots of information about auto-enrolment.

A workplace pension scheme must be a qualifying pension scheme to meet the requirements of automatic enrolment. It must also meet the minimum levels of contributions or allow benefits to build up at least at a minimum rate.

Qualifying schemes may be either defined benefit schemes or defined contribution (money purchase) schemes. A defined contribution pension is where you build up a pot of money that you can use to provide an income in retirement. The income you might get from a defined contribution scheme depends on factors including the amount you pay in, the fund's investment performance and the choices you make at retirement.

Level 1:
At least 90% of eligible staff should be enrolled into, and not opt out of, a workplace pension scheme/s,

Level 2:
To meet the Level 2 requirement, a workplace pension scheme must be made available to all staff, including those not eligible for auto-enrollment, e.g. part-timers or zero-hour employees, and the employer contributions must match those of the employee.

GOOD PRACTICE

- Some organisations invite a financial or pensions advisor to offer help to staff.
- Annual reminders sent out with wage slips can be a useful reminder for staff to reconsider their pension provision.

6.3.3
A health and safety policy and supporting procedures exist and are implemented

This indicator links to:
• 5.2.1 Lease or ownership papers are appropriate to the business premises, providing administrative and any operational centres that are fit for purpose.

CLARIFICATION

Applicant organisations, regardless of the size, are required to have a health and safety policy that meets minimum legal requirements. There is a statutory requirement for all organisations with five or more staff to have a health and safety policy and supporting procedures to ensure the safety of staff at work. Organisations with less than five employees still require a policy, and that, except for the need for it to be written, it should meet all other legal requirements. For additional information go to www.hse.gov.uk/simple-health-safety/index.htm.

The ACS standard requires organisations to consider the risks to staff at customer sites. At customer sites, staff need to be trained in line with the customers' health and safety policy and procedures.

Risk assessments should be regularly reviewed. Staff carrying out risk assessments should be appropriately trained. Organisations should particularly consider lone worker policy and practice.

Particular attention should be given where there are virtual offices or where staff work from home, to ensure that staff are not put at risk.

Security staff can be seen as targets and may be subject to verbal and physical abuse. Approved contractors must ensure there are specific procedures in place to deal with workplace violence.

The Health and Safety at Work Act places general duties on you to do what is reasonably practicable to ensure health and safety.

This means balancing the level of risk against the measures needed to control the real risk in terms of money, time or trouble. However, you do not need to take action if it would be grossly disproportionate to the level of risk, or the health, safety and welfare of your employees at work.

The Management of Health and Safety at Work Regulations 1999 (the Management Regulations) require organisations to assess and control risks to protect your employees.

Improvement Level 1

Level 1 recognises organisations that take additional action to further safeguard health and safety at work.

Other regulations supporting the HSW Act set out more detailed legal duties for specific activities or industries. The Health and Safety Executive (HSE) has produced publications to help you understand what these mean in practice.

HSE 'The health and safety toolbox: How to control risks at work' is a useful guide: https://www.hse.gov.uk/toolbox/index.htm

GOOD PRACTICE

• Accreditation to the safe contractor scheme which ensures correct advice and training is given to all staff along with other requirements such as conducting relevant risk assessments.

• Risk assessments are ideally 'point of use' documents and should be readily available for staff to refer to at their place of work.

• Each staff member completes an annual health and safety questionnaire.

• Organisations might use scoring mechanisms to prioritise risks.

• For further information, refer to organisations such as HSE, ROSPA, and British Safety Council. Days lost due to incidents are monitored.

6.3.4

An approach to provision of welfare and benefits is in place

CLARIFICATION

The welfare of staff and the benefits provided by employers is key to making the security industry a career of choice and to the retention of staff. The welfare arrangements and the benefits provided should be comparable in range to competitors in both the industry and the local market place.

Regardless of the size of applicant organisation, the working conditions should encourage recruitment into the industry and loyalty from staff.

Further information on the Personal Protective Equipment (PPE) can be found at www.hse.gov.uk/pubns/indg174.pdf.

Licence management requirements:

At initial assessment it may not be possible for requirement 5 and 6 to be fully assessed, because the business does not have access to the SIA portal. However, the business must be able to demonstrate how it intends to obtain and upload a photo of the correct size and requirement (as per the LM manual) for an individual. Some businesses may use smart phones, others may use cameras, and some may request the individual to provide a hard copy photo for this purpose. These are all acceptable, providing business has determined its policy and process, and can upload these including any resizing necessary.

EXAMPLES

The examples given are not definitive. Other examples of welfare and benefits should be considered.

GOOD PRACTICE

- Some organisations might offer bonuses to recognise effective performance. However, organisations need to ensure that the process is fair and transparent.

- Some organisations transport staff paid at the minimum wage to and from work.

- Some organisations provide free accommodation to staff undertaking significant travel to work at distant sites.

- Additional support offered on the business premises for staff who do not have English as their first language.

- Confidential employee assistance programme, operated by external agencies, can provide free support to individuals on a wide range of issues.

Please see the **Glossary** for a definition of the term 'approach'.

6.3.5

A process for the appraisal of staff performance is in place

This indicator links to:
· 6.3.6 Self-learning and improvement are encouraged.
· 7.4.2 Leaders recognise individual and team efforts.

CLARIFICATION

The term 'appraisal' does not necessarily mean a formal appraisal system. However, all staff should have a personal discussion, at least annually, with their supervisor or manager about their performance. The discussion should be specifically about performance and the staff should be made aware of the purpose.

It should also be fair, two-way and focus not only on past performance, but also on future needs to improve performance. The format of the discussion should be appropriate to the size of the applicant organisations and the needs of the staff. It should not be based solely on a tick-box site review (for example, against assignment instructions).

It is important that any such discussions are documented in some way to clarify and ensure complete understanding of the discussion and avoid any potential dispute.

GOOD PRACTICE

All discussions would be documented and signed by the manager and the staff member. Previous discussions would be used to form the basis of the current discussion so that actions can be confirmed as being completed and improvements recognised.

There should be a clear link between an individual's objectives and the wider aims and objectives of the organisation. This may simply be an understanding of the overall direction of the organisation and the impact of their role, for example, their performance might influence whether or not a contract is renewed or extended.

Please see the **Glossary** for a definition of the term 'performance'.

6.3.6
Self-learning and improvement are encouraged

This indicator links to:
· 6.3.5 A process for the appraisal of staff performance is in place.

CLARIFICATION

The main focus of this indicator is the need to improve the skills and competencies within the industry. Applicant organisations should demonstrate how they encourage all staff to undertake additional/specialist training and the achievement of formal qualifications.

Where organisations tend to focus on individuals' training needs, the following link provides useful information:

www.security-institute.org.

GOOD PRACTICE

· Access to e-learning.

· Building links with local training providers and exploring potential funding opportunities. Paid time off for learning.

· The organisation funds the membership of relevant professional bodies and professional certification fees such as membership of the Security Institute, Institute of Risk Management, Chartered Security Professional Status, CIPD, ILM, IPSA, ASIS, Institute of Directors, EPIC (Ex-police in Industry and Commerce) etc.

6.3.7

The organisation develops staff, especially those with leadership potential

CLARIFICATION

This may be achieved on an informal basis or, in the case of some larger organisations, on a more formal basis. However informal, the procedures must address the ACS standard requirements. Informal procedures will be tested through discussions with employees.

The existence of procedures does not necessarily mean that employees wish to take opportunities presented to them. The applicant organisation should demonstrate that participation would be encouraged if an employee shows the desire.

It is possible that smaller organisations feel they do not have the opportunity to implement such developmental procedures as they cannot support more positions of responsibility. Such organisations should recognise the needs of the employees and make such provision as is possible, recognising that the employee may leave once additional skills and competencies have been developed.

GOOD PRACTICE

- Succession planning.
- Peer training.
- Mentors.
- Publicising internal promotions and successes.
- Project work and/or secondments.
- Multi-skilling for staff with potential.

Please see the **Glossary** for a definition of the term 'leader'.

6.4.1

The organisation adheres to the current legislation on working hours

CLARIFICATION

There is a statutory requirement to work in accordance with the Working Time Directive. There should be regular review of shift patterns and regular risk assessments to ensure safe practice, and routine monitoring of hours worked for each individual, including work undertaken for other employers e.g. as second jobs.

Most workers don't have to work more than 48 hours per week on average. If a worker agrees to work beyond the 48-hour limit, they must put it in writing. This is known as an opt-out agreement.

There is no obligation on a worker to sign an opt-out agreement and they should not suffer any detriment if they choose not to do so.

Workers have the right to cancel an opt-out agreement by giving their employer a period of notice. This notice must be at least seven days, although a longer notice period may be set by the employer. If there is a longer notice period, this must be clearly stated as a term of the opt-out agreement and cannot be longer than three months.

Work-life balance is the equilibrium between an individual's priorities at work and their priorities in other aspects of life. With good work-life balance, work/home conflict is minimised so that the demands of work do not prevent a person from gaining satisfaction from their life outside work, while aspects of their personal life do not spill over to exert a negative impact on their work.

Level 1

There should be tangible evidence to demonstrate your organisation's approach, including how you have determined policy, and the benefits it has brought to individuals and to the business. This might include arrangements for overtime, cover, and shift patterns.

Further information is available from www.gov.uk/maximum-weekly-working-hours.

EXAMPLES

- Discussions with staff.
- Staff and PAYE records.

GOOD PRACTICE

Proactive education of customers on the benefits of reduced working hours, for example, contracts delivered by more staff on less hours but at an enhanced hourly rate.

6.4.2

The organisation complies with current legislation on staff wages

This indicator links to:
- 4.2.1 Clear and effective management of the payroll can be evidenced.
- 6.1.3 Terms and conditions of employment exist which are implemented and communicated.

CLARIFICATION

The ACS standard requires organisations to pay the real living wage rates excluding overtime payments. Wage calculations should not include other items like holiday pay, transport and accommodation costs.

See clarification given under 4.2.1 for additional information regarding deductions from pay and adherence to national minimum wage rates.

More information is available from www.gov.uk/national-minimum-wage.

EXAMPLES

The Equalities Act 2010 addresses issues over equal pay for the same job.

Example (charge for SIA licence):
- Security Industry Authority – specific workers must by law hold a licence. It is the worker's responsibility to ensure he obtains the licence, and his responsibility to pay the fee. If the employer pays the fee and then seeks repayment from the worker, national minimum wage pay will not be reduced (regardless of whether the charge is made by either a payment or a deduction).

Explanation for qualification charges:
- a charge for something, such as a qualification, which is required as a pre-requisite for obtaining employment, does not reduce national minimum wage pay;

- however, if the requirement is imposed by the employer and arises from the employment itself then any charge passed on to the worker would be considered an expense (NMWM11100), and would reduce national minimum wage pay.

Further information can be found at www.gov.uk/hmrc-internal-manuals/national-minimum-wage-manual/nmwm11230.

Deduction for uniforms:
- as a condition of employment, an employer may require workers to wear specific uniforms. If the employer requires the worker to purchase specific items, such as overalls, then any deductions made from pay or payments made to the employer in respect of those items will always reduce national minimum wage pay;

- if an employer provides a uniform, any charge the employer makes for ordinary wear and tear to that uniform will reduce the worker's national minimum wage pay.

Further information can be found at www.gov.uk/hmrc-internal-manuals/national-minimum-wage-manual/nmwm11220.

6.5 An SIA approved contractor measures and improves staff performance and staff perceptions of the organisation

6.5.1

The organisation regularly reviews performance against key staff performance indicators

This indicator links to:

- 1.3.1 A plan for the business exists with an effective review schedule.
- 1.2.1 Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement.
- 1.2.2 Goals, objectives and targets are clearly visible for all levels of the organisation.
- 6.2.3 All staff are trained to the required standard.
- 6.3.5 A process for the appraisal of staff performance is in place.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

This indicator is asking an organisation to demonstrate that they measure, review and improve the way in which they manage their staff. It is looking for organisations to monitor and measure items that appear throughout this criterion 6 people.

EXAMPLES

- Levels of training and development.
- Involvement in improvements.
- Competency requirements.
- Success rates of training and development to meet objectives.
- Recognition of individuals and teams.
- Use of benefits.
- Absenteeism and sickness levels.
- Recruitment trends.
- Staff turnover.
- Accuracy of personnel administration.
- Communication effectiveness.
- Training evaluation.
- Appraisals conducted on time.
- Check calls.
- Punctuality.

Please see the **Glossary** for a definition of the terms 'key', 'key performance indicator' and 'measures (and indicators)'.

6.5 An SIA approved contractor measures and improves staff performance and staff perceptions of the organisation

6.5.2

The organisation regularly reviews performance against responses from staff opinion gathering

This indicator links to:

- 6.1.8 A process for obtaining staff opinions on the organisation, their job and conditions exists and is implemented.
- 6.2.3 All staff are trained to the required standard.
- 6.3.5 A process for the appraisal of staff performance is in place.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

Opinion gathering to deliver quantitative measures does not have to be a formal annual quality questionnaire. It can be as simple as a series of set questions to be discussed with all customers, with the results being consolidated, into percentages or numbers, for the organisation.

Some organisations will have sophisticated systems for doing this, whereas other organisations may gather information on an informal basis.

Organisations should be able to provide examples of feedback from customers, including an indication of how the organisation has responded, and any action taken as a result.

EXAMPLES

- Communication.
- Equal opportunities.
- Leadership.
- Involvement.
- Recognition.
- Training and development.
- Employment conditions.
- Health and safety conditions.
- Job security.
- Pay and benefits.
- Working environment.
- The organisation's role in the community and society.
- The organisation's environmental views and activities.

GOOD PRACTICE

- Regular quarterly 'employee engagement meetings' to gather feedback from staff and ideas for improvement.
- 'Q&A' notice board where staff can post up questions and directors answer them.

Criterion 7: **Leadership**

An SIA approved contractor has effective leadership.

This criterion is composed of five sub-criteria

The SIA approved contractor can demonstrate that:

7.1 the leaders have the knowledge and ability to lead a security company;

7.2 the leaders review and continuously improve the effectiveness of their leadership skills;

7.3 the leaders maintain an ethical business culture;

7.4 the leaders develop and implement an effective system for recognising and rewarding excellence;

7.5 it measures and improves performance of the organisation.

7.1 An SIA approved contractor's leaders have the knowledge and ability to lead a security company

7.1.1

Leaders can demonstrate, relevant to sector, knowledge of the legislative framework, working practices and industry standards/codes of practice

CLARIFICATION

The leaders of the applicant organisation should have an outline knowledge, at a minimum, of the legislative framework, common law, working practice and industry standards/codes of practice. It is acceptable for applicant organisations to outsource the procurement of this information to specialist organisations. This is 'delegation' not 'abdication' and the leaders have a duty to ensure they understand and apply the requirements where necessary.

Level 3:

Evidence demonstrating that leaders are involved in the review and update of working practices and industry standards for their sector, will vary according to the size and type of organisation. For some organisations, this may include membership of relevant committees such as the British Standard Institution's development committees, the SIA's strategy and standards groups, or other standards development groups. For smaller organisations, this might include contributing to workshops or consultation activities relating to standards development. Tangible evidence should be available to support, such as records of comments on proposals or drafts, invites to formal consultation as an industry expert, attendance at consultative events, meeting minutes.

EXAMPLES

The senior leaders of the organisation have a recognised qualification in a discipline relevant to their role, for example:

- degree/foundation degree in Security Management, Crowd Management, Terrorism, Risk Management, Policing;

- certificate or diploma in Security Management;

- finance or HR qualification;

- MBA or Business Management qualification;

- NVQ/BTEC in discipline relevant to business, for example, customer service, security;

- qualifications achieved during service with Armed Forces and/or the Police.

GOOD PRACTICE

Leaders use various sources of information, such as the Department for Business, Energy & Industrial Strategy, The Institute of Leadership & Management, and British Standards Institution updates to keep abreast of current and future developments in their sectors. Leaders demonstrate a commitment to achieving and maintaining the ACS standards, for example, sharing good practices at forums, hosting training.

Please see the **Glossary** for a definition of the terms 'code of practice', 'knowledge' and 'leader'.

7.1 An SIA approved contractor's leaders have the knowledge and ability to lead a security company

7.1.2

Managers and directors responsible for processes and key personnel are involved in developing and can demonstrate an understanding of procedures

This indicator links to:
• 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

Leaders should understand what should be and what is happening within their organisation. Where the two differ, there should be evidence that action is being taken to ensure correct procedures are implemented.

This indicator is closing the loop by requiring the leaders to review performance results and to take action where appropriate, to improve performance.

There is a clear link in this indicator to the 'Plan. Do. Check. Act.' (PDCA) cycle. The ACS standard is looking for leader involvement in the development of the policies and procedures that form the basis of the way the company operates. Leaders are then expected to act on an issue or complaint, not only by responding to the complaint but also by looking at and amending what, in the policies and procedures, contributed to the issue or complaint. The leaders also need to ensure that the amendments are implemented.

Ref: ISO9001

EXAMPLES

- Leaders review performance regularly against targets. Shortfalls are addressed.
- Improvements in performance are recognised by leaders.
- Changes to procedures after an incident.
- Changes to procedures following any audit/assessment.
- Development of policies and procedures following changes in law.
- Communication of the importance of adhering to procedures.
- Development of back up and safety procedures.

GOOD PRACTICE

- Leaders in the regular review of the policies and procedures to ensure that they continue to be relevant to the business and compliant to legislation.
- Leaders ensure that emergency and contingency procedures are regularly tested.
- Leaders participate in company training and induction.
- Leaders take ownership of specific procedures and/or processes.
- Leaders have several management tiers where potential/ actual improvements to procedures are generated resulting in review of actual performance, for example, directors/ senior management meetings.
- Leaders are directly involved in actions to address shortfalls in performance.
- Key information is cascaded to every level of the organisation.

Please see the **Glossary** for a definition of the terms 'key', 'leader' and 'performance'.

7.2 An SIA approved contractor's leaders review and continuously improve the effectiveness of their leadership skills

7.2.1

Leaders consult stakeholders on their leadership skills and have personal development plans based on the feedback

This indicator links to:
- 1.3.1 The management of internal and external communications is handled effectively.
- 3.3.2 A complaints procedure is in place and implemented.
- 3.4.1 An approach to consumer contact is implemented.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

'Leader' is defined in the glossary.

Obtaining feedback on leadership style is likely to be conducted on an informal basis rather than through a mechanism such as the '360-degree feedback'. In some organisations, feedback from staff on leadership skills within may be undertaken on a more formal basis.

Whichever approach is used, it must be applied to all leaders within the organisation and sought from all staff.

There must be evidence that feedback from employees is obtained, how it is obtained, and how it is acted upon to drive improvements in behaviour and management style.

There may be a few examples where feedback from customers has been received, however applicant organisations should consider making a request for this type of feedback part of discussions with clients on an annual basis.

EXAMPLES

Leaders could have an 'open door' policy within their organisation.

GOOD PRACTICE

- Leadership is addressed specifically within staff and customer feedback mechanisms.
- Other feedback from customers is gathered through means such as the tendering process, contract review, informal discussions.
- Feedback is used for leaders' personal development plans. CEO's have personal development plans.

Please see the **Glossary** for a definition of the term 'leader'.

7.3.1

Leaders have developed a set of high values or codes of ethics that are implemented throughout the organisation

CLARIFICATION

The key point within this indicator is how the organisation ensures the implementation of the values or code of ethics throughout the organisation. It is easy to develop values and a code of ethics, but it is harder to ensure that they are adhered to throughout the organisation. The organisation should ensure compliance and take action where non-compliance is identified.

EXAMPLES

Leaders proactively monitor the implementation of the company's values:

- recognising when individuals behave according to values;
- taking disciplinary action when individuals do not behave according to values;
- 'fear free' internal whistle-blowing procedures;
- communicating the values/code of ethics to all staff and customers.

GOOD PRACTICE

- Staff are asked for their feedback on how well leaders act as role models as part of the review of leadership skills.
- Staff are assessed against company values as part of the appraisal process.

Please see the **Glossary** for a definition of the terms 'leader' and 'values'.

7.4 An SIA approved contractor's leaders develop and implement an effective system for recognising and rewarding excellence

7.4.1

Leaders are involved in improvement activity, encouraging staff participation where appropriate

This indicator links to:

- 4.2.3 A clear 'fit and proper' management structure with defined and understood authority levels is in place.
- 6.2.2 An induction pack/training including an introduction to policies and procedures exists.
- 6.2.4 Assignment-specific training/ induction/information is given.
- 6.3.5 A process for the appraisal of staff performance is in place.
- 7.5.1 Leaders with overall responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement.

CLARIFICATION

Leaders are required to be actively involved in any improvement activity within the applicant organisation. Evidence of where leaders have been involved in improving service delivery either to a particular customer or to the organisation as a whole should be available.

EXAMPLES

- Being open to and acting on staff/customer suggestions and feedback.
- Use of daily conference calls, so that management gains an overview of any concerns/issues and to aid planning for the next working day.

GOOD PRACTICE

- Staff suggestion box.
- Improvement suggestions are rewarded with bonus/gifts etc.
- Leaders are involved in external improvement activity such as work with emergency planning, community safety and police work.
- Setting up information and consultation working groups.

Please see the **Glossary** for a definition of the term 'leader'.

7.4 An SIA approved contractor's leaders develop and implement an effective system for recognising and rewarding excellence

7.4.2

Leaders recognise individual and team efforts

This indicator links to:

· 6.3.5 A process for the appraisal of staff performance is in place.

CLARIFICATION

Staff participation in improvement activity helps both in the development of the individual and adding interest to the role. In addition, staff participation helps to add a 'practical application' to any proposed improvements.

Evidence of where staff have been involved in improving service delivery, either to a particular customer or to the organisation as a whole, should be available.

EXAMPLES

· Being open to and acting on staff suggestions and feedback.

· 'Campfire meetings' between frontline guards and supervisors/ managers, ensuring that managers stay in touch and frontline officers have face-to-face opportunity to input ideas or concerns.

· Buddy system in place for all staff, such that if there is an incident and one officer cannot get through to the control room, they contact their buddy at another site. This also works for general welfare and support.

GOOD PRACTICE

· Staff suggestion box.

· Improvement suggestions are rewarded with bonus/gifts etc.

· Leaders are involved in external improvement activity such as work with emergency planning, community safety and police work.

· Leaders actively seek advice from senior members of staff with regards to problems there have accounted, how they have solved these problems and how their experience can be used for improvement within the organisation.

· Appointment of training champions and 'best practice sharing' sessions to ensure new initiatives are effectively publicised.

Please see the **Glossary** for a definition of the term 'leader'.

7.5.1

Leaders with overall responsibility for responsibility for the success of the organisation review results/performance against critical areas of the business and drive continuous improvement

This indicator links to:

- 1.1.1 The organisation has a clear approach to business that is acted on and communicated to all staff.
- 1.2.1 Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement.
- 1.2.2 Goals, objectives and targets are clearly visible for all levels of the organisation.
- 1.5.1 The organisation regularly reviews performance against success factors and performance indicators.
- 2.1.1 Key service delivery processes have been identified and are understood by all.
- 2.6.1 The organisation regularly reviews performance against service level agreements and/or key customer performance indicators.
- 3.4.1 The organisation implements an approach to consumer contact.
- 3.5.1 The organisation regularly reviews performance against response from customer opinion gathering.
- 4.4.1 The organisation regularly reviews performance against key financial indicators critical to the business.
- 5.3.1 The organisation regularly reviews the management of resources and data.
- 6.2.3 All staff are trained to the required standard.
- 6.3.5 A process for the appraisal of staff performance is in place.
- 6.5.1 The organisation regularly reviews performance against key staff performance indicators.
- 6.5.2 The organisation regularly reviews performance against responses from staff opinion gathering.
- 7.1.2 Managers and directors understand procedures
- 7.2.1 Leaders consult stakeholders on their leadership skills and have personal development plans based on the feedback.
- 7.4.1 Leaders are involved in improvement activity, encouraging staff participation where appropriate..

CLARIFICATION

This indicator is clarifying one of the main roles of the leaders and placing responsibility onto them to drive the business forward. It requires the organisation to have an effective arrangement to monitor performance across those areas identified by the organisation, and used as part of the organisation's strategy. The factual approach to decision making will ensure that all decisions are made using the most effective means possible, thereby ensuring a greater level of improvement across the organisation.

Continuous improvement is an ongoing, long-term approach to improve processes, products and services.

Real success of an improvement initiative comes when continuous improvement becomes business as usual. As this is an ongoing and constantly evolving process, it is important to keep revisiting the changes you have made to see if they can be improved further or if there are any factors that might have an impact on the changes you have made in the long-term.

Gaining an overview of all business processes is an important one, as is reducing costs and increasing efficiency but also:

- improving quality;
- increasing productivity;
- reducing risks;
- increasing profitability.

Without quantitative measures in place, the applicant organisation cannot demonstrate positive trends and/or sustained good performance or improvements in performance.

Ref: ISO9001

EXAMPLES

- Returns on investment.
- Service quality.
- Saving time (amount of time to supply a service).
- Customer experience.
- Safety.
- Performance indicators within a service level agreement.
- Compliments and complaints.
- Duration of relationship.
- Customer retention.
- New and lost business.
- Effective recommendation.
- Market share.
- Success rates on tenders.
- Contract retention.
- Customer visits, for example, percentage of planned visits achieved.
- Customer complaints, for example, speed of resolution.
- Level of customer satisfaction, for example, from surveys, what level is achieved against target.
- Percentage of licensable staff with an SIA licence.

Please see the **Glossary** for a definition of the terms 'critical success factors', 'leader' and 'measures (and indicators)'.

Section 3.

Glossary

Analysis

The examination of facts and data to provide a basis for effective decisions and actions.

Approach

The methods used by a provider of security services to manage and deliver their business. When considering approaches, organisations should also consider the appropriateness of the method and the effectiveness of their use.

Balanced Scorecard

Or balance score card, is a strategic performance measurement model. Its objective is to translate an organisation's mission and vision into actual (operational) actions (strategic planning).

Benchmarking

Comparing your performance with that of another company, not necessarily from the Private Security Industry, to see how well you are doing as an organisation.

Business Stakeholders

These are the people who provide funding to the organisation; the people who the management team ultimately report to. In companies, this could be the owners, shareholders or investors.

Code of Practice

A code of practice should formally exist where an organisation does not work to ISO9001:2015 or the relevant British standard. It should detail how the activities within the organisation should be conducted and to what standard. Internal procedures would not normally be considered a 'code of practice'.

Consistency

The quality, state or fact of being consistent in the application of the ACS standard through the assessment process.

Consumer

Any person in society at large who has contact with a provider of security services in the course of delivery of a service to the customer.

Control/response Room

A secure area where assistance, information, advice can be obtained in routine or emergency situations; employees can be monitored; required recording can be affected.

Core Competence

A well-performed internal activity or capability that is central to the organisations competitiveness, profitability or efficiency.

Corporate Social Responsibility

Taking into account the ethical, social and environmental impacts of the organisation's activities and taking complementary action to address those impacts where appropriate, using the organisation's own resources and expertise.

Critical Success Factors

Outcomes that an organisation needs to achieve in order to attain its overall aims purpose or mission. They usually relate to all aspects of the business such as financial, employees, customers etc. and have performance indicators that can be monitored supporting their achievement.

Culture

The specific collection of values and norms that are shared by people and groups in an organisation that control the way they interact with each other and with stakeholders outside the organisation.

Customer

The person or organisation that contracts with the security provider for the delivery of security services.

Diversity

The extent to which the people within the organisation recognise, appreciate and utilise, the characteristics that make an individual unique. Diversity can relate to age, race, ethnicity, gender, beliefs, physical abilities and sexual orientation.

Deployment

The extent to which an approach is applied in addressing the requirements of the standard. Deployment measures whether the standards are actually being applied in the workplace across all of the sites and work units in the organisation.

Effective

It asks the question "how well a process or measure addresses its intended purpose?" Determining effectiveness requires the evaluation of how well a need is met by the approach taken and its deployment or by the measure used.

Equal opportunity

The practice of ensuring that all people receive fair and equal treatment, regardless of gender, age, race, nationality, religion, disability or sexual orientation.

Good Practice

Superior approaches, policies, processes or methods that lead to exceptional achievement against the business strategy.

Goals

A future condition or performance level that one intends to attain. Goals can be both short-term and long-term. Goals are ends that guide actions. Quantitative goals, or targets, include a numerical point or range.

Head Office

The term used to describe the main operational base for the company. For very small organisations this may be a room within the owner's home. However, whatever is used or where ever the head office is based, it must be fit for the purpose it is serving.

Improvement Need

Area(s) where action is necessary in order to meet the requirements of the ACS standard.

Improvement Option

Area(s) where there remains scope for further improvement to business outcomes, or where without further action there is a risk of falling below the ACS standard.

Inspection

The careful examination and scrutiny against predetermined, rigid requirements.

Integration

The harmonisation of plans, processes, information, resource decisions, actions, results and analysis to support key organisational goals, that is, getting things to work together effectively.

Key

The major and most important elements or factors, those that are critical to achieving intended outcomes. The essential elements for pursuing or monitoring a desired outcome.

Key Performance Indicator

A key performance indicator (KPI) is a measurable value that demonstrates how effectively a company is achieving key business objectives. Organisations use key performance indicators at multiple levels to evaluate their success at reaching targets.

Key Processes

The processes that are of most importance for delivering the strategy and driving the value chain of the organisation.

Knowledge

Knowledge is the expertise and skills acquired by a person through experience and education, involving theoretical and/or practical understanding of a subject. While data are raw facts and information is data with context and perspective, knowledge is information with guidance/ability for action.

Labour provider

For ACS purposes, where businesses are providing designated security industry services:

- a labour provider is a supplier of labour;

- labour is defined as a single individual or more than one individual;

- labour provision is about the supply of one or more 'individual/s' [to an ACS business] to enable it (the ACS business) to deliver a customer contract. There may be intermediaries that are also labour providers in the chain;

- a labour provider can be another security business (sole trader or limited company), or another type of organisation such as an employment business or recruitment agency;

- a labour provider does not have the responsibility for delivering the end customer contract – that is the responsibility of the ACS company that has the contract with the customer.

Example:

ABC Security have a contract with a festival to supply security over the summer. ABC require additional security operatives. They contract with a labour agency who agree to supply them with door supervisors. The labour agency are a labour provider because they only supply 'individuals' and are not responsible for the delivery of the end-customer contract. Responsibility for the customer contract remains with ABC.

ABC Security must operate to BS 7858 (as above). The onus would be on ACS to ensure that the individuals supplied by the labour agency are properly screened and vetted.

Leader

Any person in the organisation that has responsibility for, or influences other people within the organisation.

Management System

The framework of processes, related performance/result indictors and process management and improvement systems used to ensure that the organisation can fulfil its mission and vision.

Measures and Indicators

Numerical information that quantifies input, output and performance dimensions of processes, services and the overall organisation (outcomes).

Mission

A mission describes the purpose of the organisation. A mission statement answers the question "what is it that the organisation would like to achieve?"

Organisation
A company, sole trader, or other body that has or may apply for the approved contractor scheme.

Organisational Learning
New knowledge and skills acquired through evaluation, study, experience and innovation. Organisational learning is achieved through research, evaluation and improvement cycles, employee and customer ideas and input, best practice sharing and benchmarking. To be effective, learning should be embodied in the way the organisation operates.

Partnership
A durable working relationship between the organisation and partners, creating and sharing added value for both parties. Partnerships can be formed with, for example, suppliers, educational bodies or customers. Strategic partnerships support the strategic objectives of the organisation in a particular way.

People
All individuals employed/deployed by the organisation (full time, part-time, self-employed individuals, agency workers, volunteers) including leaders at all levels.

People with Significant Control
Companies, LLPs and SEs need to keep a register of people with significant control ('PSC register') from 6 April 2016.

A PSC is anyone in a company, LLP or SE who meets one or more of the conditions listed in the legislation. This is someone who owns more than 25% of the company's shares;

- holds more than 25% of the company's voting rights;

- holds the right to appoint or remove the majority of directors;

- has the right to, or actually exercises significant influence or control;

- holds the right to exercise or actually exercises significant control over a trust or company that meets one of the first four conditions.

Perception
The opinion stakeholders have of the organisation.

Performance
Output results and their outcomes obtained from processes, services that permit evaluation and comparison relative to goals, standards, past results and other organisations. It can be expressed in non-financial and financial terms.

Policy
An over-arching statement that determines how an organisation will handle an aspect of its business. A policy will have a number of processes and procedures supporting the implementation.

Process
The method by which inputs are converted to outputs.

Procedure
Individual instructions that explain to an individual how to 'do' their job. Assignment instructions are procedures for how to deliver the service to a particular customer.

Purchasing procedure
A procedure an organisation has in place to procure/purchase goods and services such as stationery and equipment.

PSIA
Private Security Industry Act.

Resource
Resource in order to support strategy and policies and the effective operation of service delivery processes.

Response Room
See Control/response room.

Service Delivery
The process of delivering to the customer the requirements as outlined in a contract or terms and conditions of supply.

Service Level Agreement
Contract between a service provider and a customer. It details the nature, quality, and scope of the service to be provided.

Site
A particular location where security services are delivered, for example a nightclub, shop, factory, gatehouse, hospital.

Stakeholder
Person or organisation with a vested interest in the outcome of any activity, for example, procedure, process, business.

Strategy
A high-level plan describing the tactics by which an organisation intends to achieve its mission and vision, that are subsequently translated into aligned strategic goals and objectives reflecting what the organisation has to do.

Subcontractor

A subcontractor can be:

- a self-employed individual (sole trader) responsible for delivering the customer contract on behalf of the ACS company;

- a limited company (including companies with only a sole director and no employees) responsible for delivering the customer contract on behalf of the ACS company;

- another type of business that is contracted to provide service delivery on behalf of the applicant/ACS business.

Agency staff, labour providers or individuals provided as labour, (see definition of labour provider) are not considered to be subcontractors. An ACS company can only subcontract work to another ACS company.

There are some exceptions to this requirement, including:

- self-employed operatives that are under direct supervision of the main contractor;

- directly supervised 'labour', where the individual is under direct supervision of the main contractor;

- subcontractors not providing designated security services;

- by special arrangement with SIA (subject to application and agreement under our exceptional circumstances policy for subcontracting). This may include self-employed individuals (sole trader or limited company) engaged as subcontractors and responsible for delivering the customer contract on behalf of the ACS company.

Supervisor

A person with responsibility for other employees.

Supplier

Includes labour providers and subcontractors.

Values

Sometimes called a code of ethics. A values statement explains the principles by which the organisation will conduct its business, treat its employees and customers.

Virtual Office Service

This is an organisation providing a local legal business address (and sometimes communication, such as a telephone answering service).

Virtual Office Space

Otherwise known as a 'business centre' which provides an office and/or meeting rooms. A virtual office space might also offer a virtual office service.

Vision

Description of what the organisation is attempting to achieve in the long-term future. It is intended to serve as a clear guide for choosing current and future courses of action and, along with the mission, it is the basis for strategies and polices.

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