AB logo

sia
Security Industry Authority

ACS Assessment Report Type

Enter the assessment reporting type e.g.
- *ACS Assessment **Summary Sheet** (if assessment requires a full assessment report)*
- *ACS Assessment **Remote Summary Report** (if reporting a partial assessment carried out remotely) or*
- *ACS Assessment **Short Report** (where approved contractor qualifies and chooses not to have a full report).*

Organisation	**ACS reference**
Correct company name to be recorded here, including any trading/incorporating names e.g. ABC Security trading as XYZ Security or incorporating XXX Security Ltd.	*Enter reference number here. Reference number should be the same as found on the public register.*

Assessment dates	**Assessment type**	**Assessment score**
Should be the dates Xth – Yth Month Year you visited the company only and not the days you spent planning or reporting. If relevant, date you re-visited the company or the date of the desktop close out	*Enter the assessment type e.g.* • *Initial assessment* • *Year 2 Re-verification* • *Year 3 Re-verification* • *Renewal Initial Assessment* • *Renewal Y2 re-verification* • *Renewal Y3 re-verification* *or one of the above followed by – Re -Visit*	*Enter the verified assessment score.* *Following a revisit / desktop close out, the score should be recalculated and the score updated.*

Total number of licensable staff	**Employed**	**Front line**
Enter the total number of people that are deployed on licensable activities. The figure should include employed, self-employed and workers of a different status e.g. supplied via a labour provider.	Enter the number of SIA licenced employees	Segment total number of licensable staff
		Non-front line
	Other e.g. working via a labour provider	Enter the number of SIA licenced people that are not directly employed or self-employed
	Self-employed	
		Enter the number of SIA licenced self- employed

Active LDNs	**Active subcontractors**	**Number of Active contracts in scope**
Enter the number of Licence Dispensation Notices in use	Enter the number of regulated sub-contractors in use	Enter the number of active contracts for services that are within the scope of the assessment.

Overall comments / conclusions / action on previous improvement options where significant

Complete this section only for ACS Assessment Remote Summary Report or ACS Assessment Short Report.
Details to include:

- Whether the organisation is a subsidiary of a group/parent organisation, or has any association with other companies
- Structure i.e. whether the organisation structure is centralised or decentralised
- Degree of autonomy of any branches
- Level of formality within the organisation
- Maturity of the business/quality management system in place and the expectations of the leaders regarding the assessment process.

May 2020

- Details of any overseas suppliers for example monitoring or communications centre, screening service etc.
- Justification for the sampling approach i.e. how you selected particular sites, people, and records, including any limitations.
- Aims, key markets, business model. Overall impression
- Summary of relevant information that provides a clear, accurate, and insightful analysis at both macro (big picture) and micro (detail) levels. E.g. micro level, (identifying strengths and areas for improvement at ACS criterion level), and at macro level (identifying a well-balanced set of key themes at a holistic level)
  - o *Note 1. An emphasis on outcomes achieved, and not just a series of statements about whether or not systems are in place and monitored. You should include examples and quotes to illustrate and support the statements you make. In particular, for results indicators, there should be tangible examples of actual results achieved, and of monitoring trends over time, to demonstrate how well the organisation is performing against key performance indicators. Where trends over time are not available (e.g. for a young, or informal organisation), then you should identify this as an improvement option.*
  - o *Note 2. include evidence to demonstrate that a policy is actually deployed in practice and is working effectively. You should provide examples of things you saw/ heard/ were told to illustrate this. To state that there is a written policy (e.g. on diversity, or grievance, or corporate and social responsibility) and that this is given to staff would not be sufficient evidence to demonstrate effective deployment.*
- *Remote Assessment only*
  - o *Include any gaps or areas planned but not covered during the remote assessment. Any areas not fulfilled must be carried over to the onsite assessment.*
  - o *Any aspect of the visit plan that was not achieved*

Changes to the business since the last assessment (where applicable)

- Leave blank if initial assessment or a 'summary sheet'
- Important improvements (including outcome of previous improvment options), changes to business model, changes to leadership, mergers and acquisitions, changes to locations.

This should include changes to one or all of the following:

- a description of the applicant company in terms of:
  - o its size and structure e.g. any group structure, legal or other relationship with other companies, relevant internal structure such as different divisions.
  - o the number of licensable staff, including where there are seasonal or other peaks and troughs that lead to variations in the numbers deployed, and if there is any use of self-employed
  - o any other activities, licensable or non-licensable, that are not in scope
  - o its geographic coverage
  - o whether it uses sub-contractors or operates as a sub-contractor to other organisations
  - o whether it uses labour providers or operates as a labour provider
- market sectors
- the assessors impressions of the organisation's nature, culture, and style
- a brief outline of the aims of the organisation, which may make reference to critical success factors and the company mission and vision
- a brief outline of the key services provided and activities to meet the organisation's aims, how the organisation measures progress against its aims and an indication of how successful it is in meeting them. Where relevant include any recent changes or issues.
- reference to the company's website and web address
- where the organisation is assessed for an extension to scope, you should state whether the company has achieved/not achieved all the requirements (e.g. additional sector, licence management, subsidiary).

Sector	Outcome		
	Standard met	**Standard not met**	**Not assessed**
CCTV	Mark each column that corresponds to all sectors that denotes the scope and assessment recommendation.		
CP			
CVIT			
DS			
KH			
SG			
VI			

Assessment Overview	Comments
Licensed people interviewed	Include details of number, type of licences and sector deployed by employees, self-employed, and other type of workers interviewed.
Customers interviewed	Include interviewee company and job title
Consumers interviewed	Include the number of interviewees and the location
Company sites visited	Include details of applicant company sites visited e.g. Head Office
Customer sites visited	Include details of customer name and their premise postcode.

Special instructions – summary of findings (where applicable)

A special instruction (SI) is a temporary instruction, issued by the SIA to you, to focus on a specific area of the business where there is a perceived risk of non-conformance. You should insert the details of the SI (except were instructed not to) and report your findings and outcomes (achieved/not achieved) specific to the SI here.

For Example:

The following Special Instruction was issued:

The assessor should identify whether payroll services are provided entirely in-house by the company, or if outsourced payroll, umbrella or other companies are used to administer payroll services for all or some individuals. The assessor must provide the name of the outsourced provider, their address and the nature of the service e.g. organisation acting as a payment vehicle, collecting, collating the company's payroll data and make monthly payments to workers, etc.

The company currently outsource an element of the payroll processing. Hours are collated from timesheets and this information is then sent to the accountant to calculate deductions. The company then pay the individuals through BACS and send timesheets either by email or post. RTI and pension payments are made by the finance manager.

Accountant details – Money & Co, Pound Street, Bangor.

AB logo

Security Industry Authority

Good practices identified	Total number	Enter here the total number of 'Good Practices' raised during the assessment or partial assessment.

Indicator	Good practice
Enter the specific criteria and indicator number that best corresponds to the good practice.	**Good practice: superior approaches, polices, processes or methods that lead to exceptional achievement against the business strategy.** This section gives due weight to something the applicant is keenly interested in – your view of what they are doing well. This should be fairly short, but enable the organisation to consider transferring good practice elsewhere (if applicable), and/or for us to share this with others in the industry (anonymised of course!). Good practice should be a specific measure, over and above the requirements of the ACS Standard or where an organisation is doing something exceptionally well which need not result in a + score for a given indicator. It is not enough simply to repeat the standard outcomes. The outcome (exceptional achievement against the business strategy) linked to the practice should also be explained. Good practice should be reported in line with the example given below. It should be concise and provide sufficient detail for others to see how they could benefit from such an approach. *Example 1* *XX have developed effective relations with police and local authorities. This includes attending joint quarterly meetings where they review all incidents. This has led to changes to the way XX maintain records of incidents, with a view to ensuring that any XX staff member can provide comprehensive statements as necessary. This in turn assists other agencies in taking forward prosecutions or other action. (1.4.2).* opposed to: XX work in partnership with other agencies.

Improvements Needs Effective action is required in these areas	Total number	Enter here the total number of 'Improvement needs' raised during the assessment or partial assessment

Indicator	Improvement need
Enter the specific criteria and indicator number that best corresponds to f the improvement need.	*Improvement need: Area(s) where action is necessary in order to meet the requirements of the ACS standard and/or terms and conditions.* This section will only be completed if you do NOT recommend approval. This section should refer closely to the specific criteria and indicator. You must not specify: • how the organisation should address the improvement need • What evidence you will expect to see in order to close the improvement need/meet the ACS Standard. *Examples:* *XX company uses a labour provider to supplement its workforce. However the company has not followed HMRC guidance regarding due diligence record keeping for the use of labour providers (6.1.2)*

Please develop an action plan to address each improvement need including root cause, associated timescales and appropriate preventative actions and submit this to [assessing body] and to the SIA within 5 working days.

May 2020

Improvement options Action in the following areas is not required for approval but may help to improve performance	Total number		Enter here the total number of 'Improvement options' raised during the assessment or partial assessment
Indicator	Improvement options		
Enter the specific criteria and indicator number that best corresponds to the improvement option.	*Improvement options: are 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, eligibility requirements and/or conditions of approval.* This section gives weight to another of the applicant's key concerns – 'how can I improve performance'? This is where value is added, and it should be clear how improvement options may improve business outcomes. It should be sufficiently detailed so it is clear to the organisation how they may improve upon their existing performance, in order to maintain and possibly exceed their business outcomes. This section should cross-reference against the ACS Standard by inserting the relevant criteria and indicator. Where improvement options outside the scope of the SAW are raised- this should be explained. All improvement options should have their context explained and should be linked to a proposed business benefit/outcome. Whilst you may not be able to say how the organisation should do something you are able to make suggestions or outline options. **Note**: As the company is meeting the required achievement level, there is no requirement to 'close out' an IO. However, you may wish to comment on whether or not the contractor has acted upon previously raised IOs or not, and what benefit that has brought. This can be summarised in 'Overall comments / conclusions / previous Improvement Options' section of the report adding any detailed evidence as appropriate.		

Deadline for next assessment	Where INs have been raised re-visit within 6 weeks; on-site assessments following remote assessment within 6 months; or within 12 months of a successful annual assessment.		
Full report required	Yes / No	Full report required for all companies who do not qualify for and opted for a short report.	
Assessor	**Signed**	**Date**	**Assessing Body**
Enter Lead Assessor Name here.	Assessor signature to confirm report content.	Date report signed by assessor	Enter name of ACS assessing body & confirmation signatory

This report is subject to review by [assessing body] and by the SIA.

The SIA will make the final decision on your ACS approval.

Security Industry Authority

ANNEX A

Indicator	Assessor Score		Indicator	Assessor Score
Criteria 1			**Criteria 5**	
1.1.1			5.1.1	
1.1.2			5.1.2	
1.1.3			5.2.1	
1.2.1			5.2.2	
1.2.2			5.2.3	
1.2.3			5.2.4	
1.3.1			5.3.1	
1.4.1			*Subtotal for Criteria 5*	
1.4.2			**Criteria 6**	
1.4.3			6.1.1	
1.5.1			6.1.2	
Subtotal for Criteria 1			6.1.3	
Criteria 2			6.1.4	
2.1.1			6.1.5	
2.2.1			6.1.6	
2.3.1			6.1.7	
2.3.2			6.1.8	
2.3.3			6.2.1	
2.4.1			6.2.2	
2.4.2			6.2.3	
2.4.3			6.2.4	
2.4.4			6.2.5	
2.4.5			6.3.1	
2.5.1			6.3.2	
2.5.2			6.3.3	
2.6.1			6.3.4	
Subtotal for Criteria 2			6.3.5	
Criteria 3			6.3.6	
3.1.1			6.3.7	
3.1.2			6.4.1	
3.2.1			6.4.2	
3.2.2			6.5.1	
3.2.3			6.5.2	
3.3.1			*Subtotal for Criteria 6*	
3.3.2			**Criteria 7**	
3.4.1			**7.1.1**	
3.5.1			**7.1.2**	
Subtotal for Criteria 3			7.2.1	
Criteria 4			7.3.1	
4.1.1			7.4.1	
4.2.1			**7.4.2**	
4.2.2			7.5.1	
4.2.3			*Subtotal for Criteria 7*	
4.2.4				
4.3.1				
4.4.1				
Subtotal for Criteria 4			**TOTAL SCORE:**	

	Maximum available Score	Assessor's verified score	Available improvement in score
Criteria 1 Strategy	21		
Criteria 2 Service Delivery	15		
Criteria 3 Commercial Relationship Mgt.	18		
Criteria 4 Financial Mgt.	15		
Criteria 5 Resource Mgt.	11		
Criteria 6 People	52		
Criteria 7 Leadership	13		
	145		

May 2020