



Security Industry Authority

The SIA Approved Contractor Scheme

# Interactive Self-Assessment Workbook

April 2022



# Contents

# 1. Background

The purpose of the Approved Contractor Scheme (ACS) is to protect the public and to maintain and improve standards in the private security industry. Many security businesses have obtained approval under the scheme since its launch in 2006 and many buyers and users of security services require that their suppliers are approved.

Security Industry Authority (SIA) approved contractors and organisations seeking approval must conform to the ACS standard to demonstrate necessary capability and effectiveness in the operation of their business and in the protection of people, property and premises. This self-assessment workbook provides the detail to enable organisations to show that they meet the standard required. The ACS workbook guide, available from our website, [www.gov.uk/government/publications/applying-for-acs-approval-guidance-and-forms](http://www.gov.uk/government/publications/applying-for-acs-approval-guidance-and-forms), gives additional guidance material and examples.

The ACS Standard has been developed with a wide scope encompassing all aspects of a business. It enables a holistic view of how an organisation meets the needs of all of its stakeholders including how it is:

- being managed and led
- providing services to its customers
- providing for and managing its staff
- considering the society and environment in which it operates

The requirements of the ACS standard are generic and can be applied to all organisations regardless of size and sector.

The achievement level within the ACS self-assessment workbook is set to validate existing good practice; encourage the development of new practices and discourage poor practice found in some organisations within the industry.

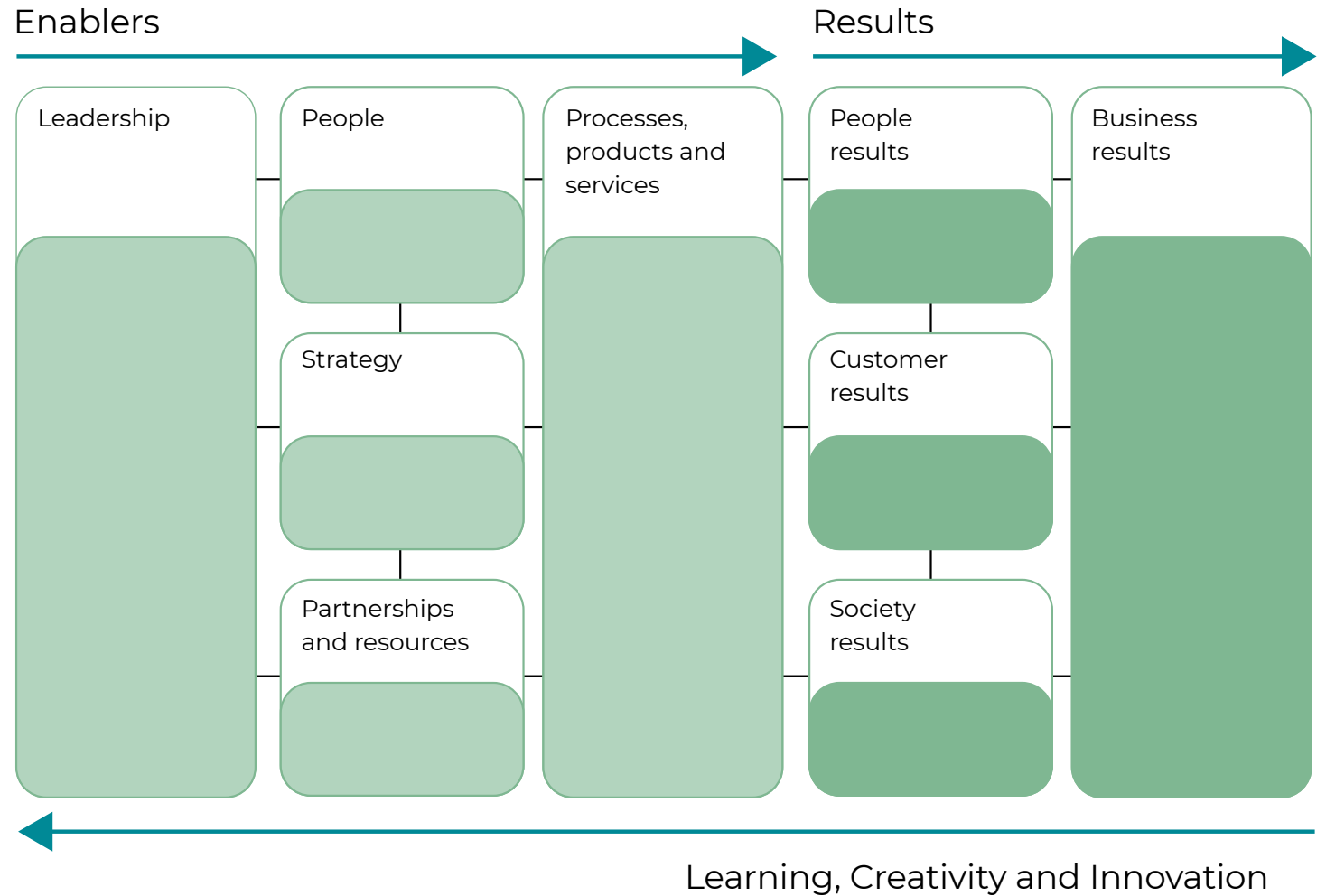
The ACS standard is comprehensive and organisations do not require separate certification to other standards, e.g. ISO9001 or specific British standards, in order to be an SIA approved contractor. However, in meeting ACS requirements, approved contractors are expected to work to the British standard codes of practice appropriate to their activities – see Section 5.

The assessment process allows organisations to demonstrate, to an SIA approved assessor, how their way of conducting their business meets the required achievement level to become an SIA approved contractor. The assessors will apply the ACS standard in a pragmatic way taking into account the nature of your organisation and the context in which its services are delivered.

The assessment process will also be used to provide input to the ongoing development and improvement of the ACS standard. Any changes proposed to the ACS standard will be subject to consultation with the private security industry.

## 2. Introduction

The ACS standard encompasses the key requirements found in ISO9001 and the existing security industry British standard codes of practice whilst challenging the industry to review its approaches in other areas covered by the EFQM Excellence Model, to the right.



## 2.1 The ACS standard consists of seven criteria

Each of the seven criteria (see the panel to the right) are broken down into a number of sub-criteria that, when met, demonstrate how excellent service delivery and sound business management is achieved.

Associated ACS documents are available via our website [www.gov.uk/government/publications/applying-for-acs-approval-guidance-and-forms](http://www.gov.uk/government/publications/applying-for-acs-approval-guidance-and-forms).

We and our approved assessing bodies will ensure consistent application of the ACS standard across the private security industry.

## 2.2 Who should consider applying?

The ACS standard is applicable to any organisation that provides licensable security services as defined in the Private Security Industry Act 2001.

It is appropriate for all sectors and sizes of organisation within the industry as it allows organisations to develop their own methods of working within the guidelines laid down within the standard.

The standard does not specifically require the development of a documented quality management system. However, an organisation will have to demonstrate to an assessor how its chosen methods are effective in delivering high levels of customer satisfaction and a sustainable business. Many organisations will achieve this through documented procedures and records.



### 1. Strategy

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



### 2. Service delivery

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



### 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.



### 4. Financial management

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



### 5. Resources

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



### 6. People

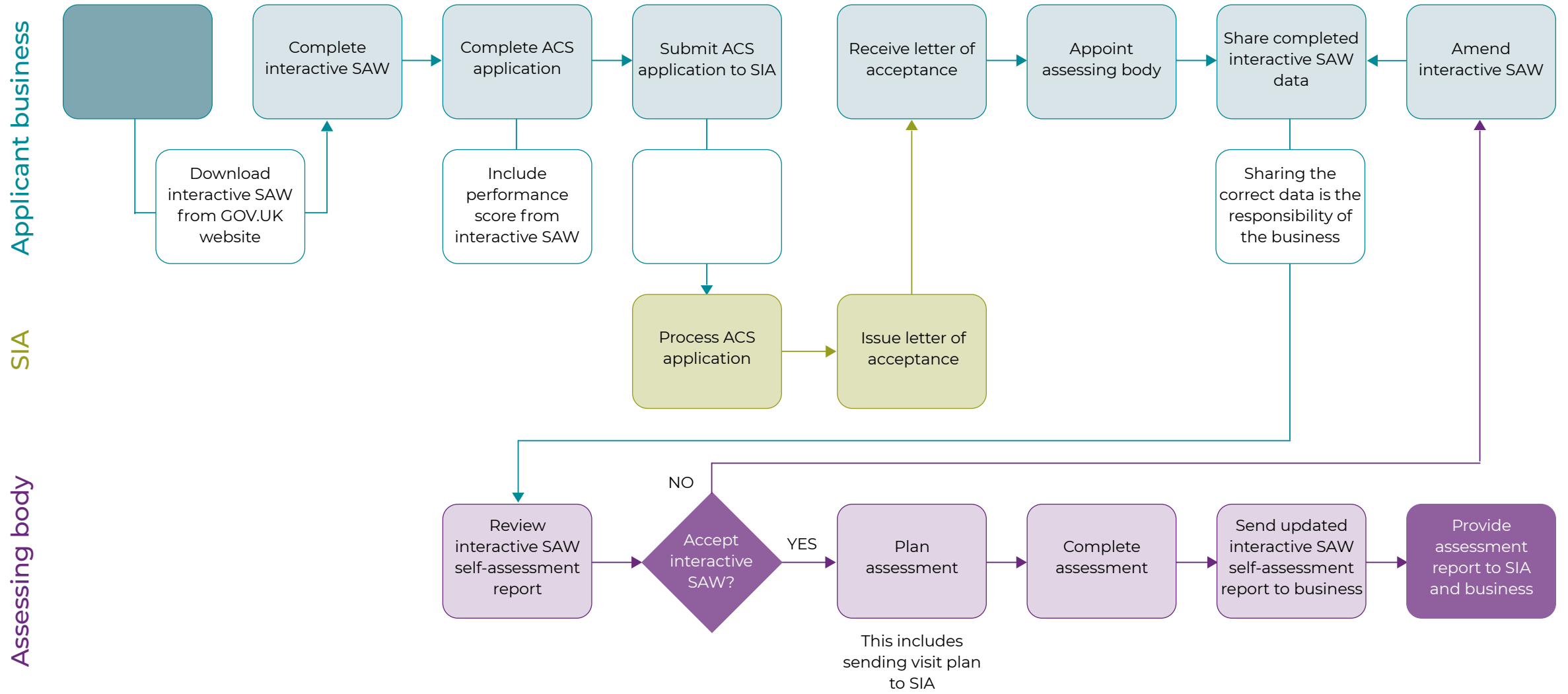
An SIA approved contractor develops and implements plans to ensure its people are suitably trained, developed and cared for.



### 7. Leadership

An SIA approved contractor has effective leadership.

# 3. The ACS assessment process



# 4. The self-assessment workbook

The self-assessment workbook is designed to help organisations determine whether they meet the ACS standard and to identify good practice to improve their business. Organisations which, after completing the self-assessment workbook, conclude that they do not meet the ACS requirements should implement the improvements needed before making an application to us or undertaking an independent assessment.

The workbook presents the seven criteria of the ACS standard and the associated sub-criteria. The indicators within each sub-criterion will allow an organisation to demonstrate:

- what they do
- how they do it
- the extent to which it is done within the organisation
- how the organisation knows its actions are successful

Every organisation is different according to its size and the nature of its business. It is the responsibility of your organisation to identify and demonstrate how its approaches meet the ACS standard.

Each sub-criterion is composed of numerous indicators setting out the required achievement level that your organisation should meet.

The required achievement level for all ACS self-assessment workbook indicators is reviewed annually by us and may be changed depending on current industry performance and the potential for improvement.

# 5. Security Industry Codes of Practice/Working Standards

The ACS standard has been designed as a quality standard for application in relation to all the activities regulated by us. However, we recognise that certain British standard codes of practice provide more detailed good practice relating to a particular activity such as security guarding or door supervision.

We have identified relevant British standards that SIA approved contractors must work to. Since these are codes of practice and not requirement standards it is anticipated some detail in the codes of practice will not be appropriate to every organisation. In such cases, an organisation should consult their assessing body or us for advice.

Table 1: Security Industry Codes of Practice/Working Standards identifies the codes of practice that are relevant to each activity (sector) for which ACS approval is available. Organisations seeking approval for a particular activity (sector) must work to the code(s) of practice listed.

Additional information about the British standard codes of practice is available on our website: [www.gov.uk/guidance/learn-about-the-british-standards-that-apply-to-private-security](http://www.gov.uk/guidance/learn-about-the-british-standards-that-apply-to-private-security).


**Table 1: Security Industry Codes of Practice/Working Standards**

BS10800	Provision of Security Services – Code of practice	As required by the sector specific standard
BS7858	Screening of individuals working in a secure environment – Code of practice	All activities regulated by the SIA
BS7958	Closed circuit television (CCTV) – Management and operation – Code of Practice	Public space surveillance (CCTV)
BS7499	Provision of static guarding security services – Code of practice	Security guarding
BS7960	Door supervision – Code of practice	Door supervision
BS7872	Manned Security Services – Cash and valuables in transit services (collection and delivery) – Code of practice	Cash & valuables in transit
BS7984-1	Keyholding and response services – General recommendations for keyholding and response services	Keyholding and security guarding
BS7984-2	Keyholding and response services – Lone worker response services	Keyholding and security guarding
BS7984-3	Keyholding and response services – Provision of mobile security services – Code of practice	Keyholding and security guarding
BS8507-1	Code of practice for close protection services – services within the United Kingdom	Close protection
BS8517-1	Security Dogs – Code of practice for the use of general purpose security dogs	Security guarding
BS8584	Vacant property protection services – Code of practice	Security guarding/keyholding
BS8593	Code of practice for the deployment and use of Body Worn Video (BWV)	Security guarding/Public space surveillance (CCTV)
n/a	BPA Code of Practice*	Vehicle immobilisation
n/a	SIA Code of Connection	Licence management service
n/a	SIA Licence Management Manual	Licence management service

\* Vehicle immobilisers operating in Northern Ireland should work to the British Parking Association Code of Practice for control and enforcement of parking on private land and unregulated public car parks or equivalent. If new British standard codes of practice are published that detail further good practice in relation to an activity (sector) regulated by us then we will expect SIA approved contractors to conform to these codes of practice within six months of their publication.



# 5. Security Industry Codes of Practice/Working Standards (continued)

Additional standards apply to approved contractors that are approved to use or considering using our licence management service. These standards do not apply to approved contractors not using the licence management service. Under each criterion, the licence management requirements are identified by the words 'where applicable' before a particular requirement. Indicators that have licence management requirements or contain clarification for licence management service users are flagged with this icon against the indicator number 

Generally, an organisation that conforms to all the requirements of ISO9001 can expect to meet the required ACS achievement level for around two-thirds of the ACS Self-Assessment indicators. The remaining ACS indicators are not directly covered by ISO 9001.

Some indicators have corresponding legal requirements. For organisations wishing to confirm they meet these requirements, information can be found on the website of the Department for Business, Energy & Industrial Strategy, or at [www.gov.uk/government/organisations/department-for-business-energy-and-industrial-strategy](http://www.gov.uk/government/organisations/department-for-business-energy-and-industrial-strategy).

Table 2: Overlap between ISO9001 and the ACS Standard

ACS Criteria	Coverage of ACS Criteria by ISO 9001
Strategy	Good
Service Delivery	Good
Commercial Relationship Management	Very Good
Financial Management	Good
Resource Management	Very Good
People	Good
Leadership	Some

## 5.1 Who should complete the self-assessment and be involved in the self-assessment process?

The self-assessment can be used in a number of ways. It may be completed by one or more of the following:

- the senior management
- a cross section of managers
- a cross section of levels within the organisation
- a person within the organisation responsible for 'quality' or standards

It is recommended that as many people as possible participate in the self-assessment process to ensure it is a true reflection of the organisation.

Multi-sited organisations may choose to refer to the self-assessment tool at each site, in order to satisfy themselves that they are consistently meeting the requirements across the organisation. The results can usefully inform the completion of the organisation's self-assessment as required for an ACS application.

# 6. How to use the self-assessment

You should use this interactive self-assessment workbook to record your self-assessment. You will also need to [register for a 'business account'](#) and to download the [ACS Application Form](#) if you are applying for the first time.

The ACS self-assessment has been designed to enable organisations to work through the criteria in any order and to start, stop and start again as and when the time and resources are available.

Work through each of the indicators and its constituent statements. You must meet, in a way appropriate to your business, all the requirements listed under the heading 'required achievement level' of each indicator before moving on to the following (higher) improvement level(s), for example, improvement level 1, improvement level 2. Tick the box against each achievement level for which you meet all requirements. Work through the levels until you reach your achievement level, that is, the highest improvement level you are completely achieving.

When assessing yourself against the required achievement level consider:

- what you do
- how you do it
- the extent to which you do it
- how you know your actions are successful

For each indicator, use the NOTES to complete a summary of key points or simply note the relevant approaches, for example, 'covered in assignment instructions at every site'. This will help you to create an improvement plan,

where needed, and provide information that will help the assessor to plan the verification visit more effectively.

If a particular indicator is not applicable to your organisation, you must still record it and explain why you consider it is not applicable. In such cases, tick the required achievement level box only and use the NOTES for that indicator to provide your explanation. You should take care and not assume that because something is currently not done that way the indicator is not applicable. Generally, the number of indicators that are not applicable will be very low.

To familiarise yourself with the self-assessment and the process should take you about one hour. The time involved to actually complete the self-assessment is dependent on the size of your organisation. As a guide the minimum time requirement for a small organisation, that is, with an annual turnover up to £1 million, should be approximately one day. For a large or multi-site organisation, that is, with an annual turnover of over £4 million, it could take as much as five days. You can save and return to the self-assessment, by saving it to a local folder at any time. We recommend you save regularly to avoid losing important progress.

If you are unsure of content in the self-assessment workbook please refer to the glossary, the clarification provided with most indicators, or refer to the associated guide, available from our website [www.gov.uk/government/publications/applying-for-acs-approval-guidance-and-forms](http://www.gov.uk/government/publications/applying-for-acs-approval-guidance-and-forms).

# 7. Reviewing achievement levels and submitting an application

As you complete your self-assessment, your achievements for each of the seven criteria are automatically recorded on the self-assessment summary page at the end of this document, providing confirmation of your position against the ACS standard. The summary page also shows the number of indicators for which you have met the required achievement level along with your overall performance score between 0-145.

You can use the separate ACS Self-Assessment Report to collate your scores and notes for each indicator in a printer friendly format. The instructions to do so are provided on the summary page.

In order to become an SIA approved contractor you must meet the required achievement level for all 78 indicators. The only exception will be any indicators that are not applicable or where an approved contractor is approved or seeking approval to use the licence management service, then they must meet additional requirements identified with the words where applicable in bold. For example, indicator 5.2.1 '**Where applicable:** The work environment of administration offices and/or operational centres has been assessed.'

When you are satisfied that you have completed the interactive self-assessment, and are ready to submit an application, please download an application form using the link on the summary page.

Once we have received and reviewed your application, we will write to you to inform you whether or not your application is accepted. If you do not meet the requirements, as outlined within [Get Approved](#) your application will not be accepted.

If your application is accepted, you have supplied the required documentation and paid the application fee, we will write to you to confirm acceptance. You then have six months to complete a successful assessment with an [assessing body](#).

You should follow the instructions on the summary page to submit your self-assessment data to your appointed assessor in order for them to plan their assessment. The assessor will use your data to create their own version of your self-assessment report.

Once they complete their verification visit, they will update their version, providing you with a quick comparison between their assessment and your original self-assessment. At a later stage, they will submit their own full report on their assessment to us and to you. You should use this to identify strengths and weaknesses, which may be taken into consideration at your next assessment.

# 8. Organisation overview

Before you start your self-assessment, please provide some details of your organisation and information about its structure and activities.

This will help you to complete the self-assessment correctly and will provide us and our assessors with a very useful source of information for the visit and verification of your self-assessment and for subsequent reporting.

On the following two pages, please describe your organisation in greater detail under the following headings:

- Challenges and strategy of the organisation
- Markets, offerings and customers
- Operations, partners and suppliers
- Management structure and activities

Name of your organisation		Year of approval*
<input type="text"/>		<input type="text"/>
Address of main location		Postcode
<input type="text"/>		<input type="text"/>
Type of legal status/owners-investors	Sector of activities	Number of employees
<input type="text"/>	<input type="text"/>	<input type="text"/>
Geographic coverage of activities		Number of sites
<input type="text"/>		<input type="text"/>
Please provide a brief history of your organisation, its core purpose, past achievements and key financial figures		
<input type="text"/>		

\* Please enter N/A if your organisation has not yet been approved

## 8. Organisation overview (continued)

### Challenges and strategy of the organisation

This may include:

- vision (statement of the organisation's future); business strategy (what business are you in today/tomorrow?)
- strengths; weaknesses; opportunity; threats (in the context of the organisation's mission and vision, and capability and capacity to achieve strategy)
- competitive advantage; key business goals (that support the mission and the achievement of vision, the business strategy)
- critical success factors.

### Markets, offerings and customers

This may include:

- current and future markets
- description and figures (market shares... significance for future)
- current and future customer segments: description, needs and figures (breakdown of revenue, profitability, significance for the future)
- current and future offerings; product segments: description, features and figures (breakdown of revenue, profitability, significance for the future).

## 8. Organisation overview (continued)

### Operations, partners and suppliers

This may include:

- organisation structure and main functions
- key resources and assets
- key partners and suppliers; type and significance of relationships
- society: impact on the company and expectation from its members.

### Management structure and activities

This may include:

- governance structure
- values
- key management meetings
- performance management (how the organisation manages and improves its performance).

## Criterion 1: Strategy



## 1.1 The SIA approved contractor has a coherent plan and approach to business

### 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 codes 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. The organisation can describe its overall approach to business including its role, purpose or mission and values.
2. The approach to business supports delivery of service to the customer.
3. The approach to business and its importance, including clearly defining what is expected of staff is:
  - explained to staff when they join the organisation;
  - communicated in the appropriate format to staff on an ongoing basis.
4. The approach to business focuses on meeting the needs of customers, consumers and the wider public.
5. Plans to maintain and develop the business are in line with the approach to business.

Has this indicator changed since your last assessment?

Yes

No

Please see the [Glossary](#) for a definition of the terms, 'approach', 'mission' and 'values'.





1.1 The SIA approved contractor has a coherent plan and approach to business

Has this indicator changed since your last assessment?

Yes

No

### 1.1.2

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



Please see the Glossary for a definition of the terms, 'mission', 'values', 'stakeholder', 'consumer', 'customer' and 'subcontractor'.

## 1.1 The SIA approved contractor has a coherent plan and approach to business

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. A plan for the business exists that:
  - is aligned and is consistent with the organisation's approach to business;
  - reflects the needs and expectations of customer and staff;
  - is based on the financial needs of the organisation and the needs of customers;
  - is relevant to the services being provided;
  - reflects recent changes within the industry, for example, buyer behaviour;
  - reflects recent changes to relevant legislation;
  - is reviewed annually (unless driven by exceptional events).
2. All staff are made aware of relevant aspects of the business plan, for example, the needs of customers, recent changes to legislation that impact on the organisation's approach to business.

Has this indicator changed since your last assessment?

Yes

No

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

Has this indicator changed since your last assessment?

Yes

No

### 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

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

## 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

#### REQUIRED ACHIEVEMENT LEVEL

1. Goals, objectives and performance targets are set at a high level within the organisation.
2. Goals, objectives and targets cover the financial, service delivery and staffing aspects of the organisation.
3. Staff are aware of the goals, objectives and targets that affect their area of service delivery.
4. Goals, objectives and targets are discussed with individuals.
5. There is a link between the goals, objectives and targets of individual staff and the organisation's overall objectives.
6. Staff are aware of how their individual goals and objectives are linked to the organisation's overall objectives.

Has this indicator changed since your last assessment?

Yes

No

Please see the [Glossary](#) for a definition of the terms '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

Has this indicator changed since your last assessment?

Yes

No



Please see the [Glossary](#) for a definition of the term '[code of practice](#)'.

### 1.3 An SIA approved contractor handles internal and external communications effectively

#### 1.3.1

The management of internal and external communications is handled effectively

Has this indicator changed since your last assessment?

Yes

No



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

Has this indicator changed since your last assessment?

Yes

No

### 1.4.1

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

#### REQUIRED ACHIEVEMENT LEVEL

1. The organisation has a policy relating to corporate social responsibility and the environment which:
  - outlines the organisation's positive stance on environmental and social issues;
  - directly addresses protection of the public;
  - is communicated to all staff and customers.
2. The organisation is aware of its responsibilities to society and takes a positive stance to ensure ownership.
3. The organisation is aware of its impact on the environment and is taking steps where appropriate, to reduce this impact.
4. Staff are aware of their responsibilities and act accordingly.
5. Steps have been taken to make customers aware of the organisation's positive stance on its responsibilities to society and the environment.
6. Performance against the policy is monitored.

Please see the [Glossary](#) for a definition of the terms '[corporate social responsibility](#)'.



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

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. The organisation is aware of how it may impact the reputation of the private security industry.
2. The organisation takes opportunities to enhance the reputation of the private security industry when appropriate.
3. Appropriate contact with the police is maintained.
4. Actions that may enhance the reputation of the private security industry are planned and linked to local activities and to customer initiatives where appropriate.

Has this indicator changed since your last assessment?

Yes

No





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

Has this indicator changed since your last assessment?

Yes

No

### 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.



## 1.5 The SIA approved contractor measures and improves on performance against key indicators

Has this indicator changed since your last assessment?

Yes

No



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

## Criterion 2: Service delivery



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

Has this indicator changed since your last assessment?

Yes

No

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. Key processes for the delivery of services to customers:
  - have been identified and are documented in training manuals or in individual procedures;
  - are reliably followed;
  - have standards of performance which can be assessed for compliance.
2. All key service delivery processes:
  - have an identified and available responsible manager, director or people with significant control;
  - have an escalation procedure;
  - have related measures of performance that are monitored;
  - are reviewed to ensure continuing relevance to the organisation's strategy and objectives, and to customers;
  - are regularly tested outside routine site visits and inspections to:
    - ensure continuing effectiveness in the delivery of excellent customer service;
    - identify areas for improvement.

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

## 2.2 An SIA approved contractor has a plan to ensure continuity of 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. The organisation has identified the key aspects of the business that are critical to its operation.
2. Plans for business continuity cover identified critical aspects, for example:
  - periods of labour shortages;
  - incident and crisis management in all aspects of service delivery;
  - IT systems and technology;
  - customers not paying on time.
3. The plans are:
  - relevant to the business;
  - reviewed periodically to ensure continued effectiveness;
  - tested against some of the highest risk scenarios.
4. The plans also contain:
  - details of actions to be taken;
  - named responsible persons.

Has this indicator changed since your last assessment?

Yes

No

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

Has this indicator changed since your last assessment?

Yes

No

### 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.

Please see the [Glossary](#) for a definition of the term 'organisation'.



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

Has this indicator changed since your last assessment?

Yes

No

### 2.3.2

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

#### REQUIRED ACHIEVEMENT LEVEL

1. The impact of service delivery on consumers is discussed:
  - when there has been a complaint or adverse publicity concerning the sector;
  - at a senior management level at regular intervals.
2. All staff are trained in and understand:
  - the impact of service delivery on consumers;
  - their role in protecting the public (where appropriate);
  - how this interfaces with the police and with other authorities.
3. The role of protecting the public, and its importance, is discussed throughout the organisation and forms part of discussions with the customer.

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

Has this indicator changed since your last assessment?

Yes

No

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. All contractual arrangements with customers include:
  - negotiation of the terms and conditions of supply;
  - written contracts, signed by both parties (customer and organisation).\*

\* Or refusal or failure to sign can be evidenced, or some other means of evidencing agreements can be provided, such as a purchase order number, or payment being made.
2. Contractual arrangements are adhered to.
3. Contracts are monitored for review and renewal periods.

Please see the [Glossary](#) for a definition of the term 'organisation'.





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

Has this indicator changed since your last assessment?

Yes

No

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. The use of subcontractors is agreed with the customer before their deployment.
2. The customer has the opportunity to ask, using valid justification that the subcontractor(s) is (are) removed from any particular assignment.
3. Subcontracted:
  - individuals are required to hold a valid SIA licence (which the organisation verifies by checking the SIA website);
  - organisations used to deliver a security service are SIA approved contractors (exceptions apply – please see the definition of subcontractor').
4. All subcontracted individuals are vetted and screened.
5. All subcontractors sign a confidentiality agreement.
6. All subcontractors are given contract terms and conditions of engagement and the provision of equipment is agreed and documented in the contract.
7. All subcontractor organisations used to deliver a security service are SIA approved contractors

Please see the [Glossary](#) for a definition of the term 'subcontractor'.

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

Has this indicator changed since your last assessment?

Yes

No

### 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.

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

### 2.4.3

#### Incident procedures are defined

This indicator links to:

- 2.4.4 All procedures are regularly reviewed.

#### REQUIRED ACHIEVEMENT LEVEL

1. Incident procedures:
  - have been developed by the organisation;
  - that relate to customer sites have been developed in collaboration with and agreed with the customer;
  - are followed on every occasion.
2. All appropriate staff are aware of the incident procedures.

Has this indicator changed since your last assessment?

Yes

No



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

Has this indicator changed since your last assessment?

Yes

No

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. All service delivery and associated procedures are reviewed:
  - on a regular basis;
  - by the manager, director or people with significant control responsible;
  - to ensure ongoing relevance and effectiveness in delivering satisfaction and improving performance;
  - after a customer complaint has been received or an incident has highlighted an improvement opportunity.
2. There are processes in place that enable issues and improvements to be raised by users and against which improvement plans can be developed.
3. Improvements made to service delivery processes, as a result of review, can be identified and demonstrated by the organisation.

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

Has this indicator changed since your last assessment? Yes No

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

- REQUIRED ACHIEVEMENT LEVEL**
1. All staff working at a customer site/venue are required to register their arrival at and departure from each site/venue.
  2. Attendance records at every site/venue are kept to ensure that procedures are followed.
  3. Attendance records are reviewed by management on a routine basis.
  4. Staff are aware of the importance of adhering to these procedures.
  5. Procedures are in place to deal with staff non-attendance at customer sites.
  6. 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. Improvement plans are developed in response to a review of performance against agreed service levels.
2. Improvement activity is coordinated and prioritised.
3. All plans have owners, dates for delivery and expected improvement targets.
4. Improvement plans are reviewed at a local level.

Has this indicator changed since your last assessment?

Yes

No

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

Has this indicator changed since your last assessment? Yes No

**REQUIRED ACHIEVEMENT LEVEL**

1. Changes are implemented according to procedures, which include:
  - communicating the change to the relevant staff;
  - training, where appropriate, taking place prior to the change being implemented;
  - maintenance of document version control;
  - monitoring progress of change to ensure delivery of improvement.



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

Has this indicator changed since your last assessment?

Yes

No

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. On a contract by contract basis service delivery is reviewed against key customer performance measures that include the suitability of the security solution.
2. Measures cover all key aspects of the services provided to customers to demonstrate how well the organisation and staff deliver to customer requirements.
3. Reasons for actual and perceived shortfalls in performance are understood.
4. Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.

Please see the [Glossary](#) for a definition of the terms 'key', 'key performance indicator', 'performance' and 'service level agreement'.



## Criterion 3: Commercial relationship management



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

Has this indicator changed since your last assessment? Yes No

**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



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

Has this indicator changed since your last assessment? Yes No

3.1.2  
The organisation works in partnership with its suppliers to improve performance

- REQUIRED ACHIEVEMENT LEVEL**
1. Performance requirements, that is, specifications delivery requirements, are determined and agreed with suppliers.
  2. Discussions take place to review suppliers' performance against the agreed requirements.
  3. Suppliers are given feedback on their performance.
  4. Suppliers are paid within the contractually agreed timescales.



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

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

Has this indicator changed since your last assessment? Yes No

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.

REQUIRED ACHIEVEMENT LEVEL
1. Discussions are held with potential customers on how best to meet their needs.
2. These discussions are conducted by appropriate, competent personnel to ensure the right advice is given.
3. When a customer specifies a level of security that is not appropriate, then the customer is told of the implications.



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

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

### 3.2.2

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

Has this indicator changed since your last assessment?

Yes

No

#### REQUIRED ACHIEVEMENT LEVEL

1. There is a process in place to respond to requests for service.
2. The process includes:
  - undertaking pre-contract site visits and risk assessment/s, which, where appropriate, take account of any TUPE (Transfer of Undertakings – Protection of Employment) requirements;
  - understanding the customer requirements;
  - demonstrating a fit and proper management.
3. Selected people are responsible for the tendering process.
4. Lessons learned from all bids are fed back into the process in the form of improvements.
5. There is a process in place to respond to short notice requirements of existing and new/potential customers.

Please see the [Glossary](#) for a definition of the terms 'approach' and 'benchmarking'.



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

Has this indicator changed since your last assessment?

Yes

No

### 3.2.3

The organisation implements a process for obtaining new business

#### REQUIRED ACHIEVEMENT LEVEL

1. There is a well-defined process for obtaining new business which is:
  - based around ethical behaviour and integrity;
  - clearly linked to the approach to business of the organisation;
  - consistent with the plans for the business.

In canvassing and tendering for business, the organisation highlights the benefits to the customer and to public safety, of using SIA approved contractors.



### 3.3 An SIA approved contractor manages customer relationships in a professional manner

#### 3.3.1

The organisation implements a process for customer site visits

##### REQUIRED ACHIEVEMENT LEVEL

1. There is a process with supporting procedures for site visits to all customers which details:
  - the frequency of visits;
  - the method of confirming the visits have taken place.
2. Customer site visits are conducted regularly and have a clear purpose.

Has this indicator changed since your last assessment?

Yes

No



### 3.3 An SIA approved contractor manages customer relationships in a professional manner

#### 3.3.2

The organisation implements a complaints procedure

##### REQUIRED ACHIEVEMENT LEVEL

1. All complaints are:
  - recorded;
  - handled robustly and objectively;
  - analysed to look for patterns.
2. Complaints are responded to within target times or deviations are justified.
3. Where relevant, all those who complain receive an individual response to their complaint.
4. Information on complaints is reviewed by the leaders of the organisation and improvements are implemented.

Has this indicator changed since your last assessment?

Yes

No





### 3.4 An SIA approved contractor manages consumer relationship in a professional manner

#### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. Front line staff are given instructions on how to deal effectively with the consumer.
2. The organisation is aware of consumer opinion through the number of commendations or complaints, including items of positive or negative feedback it receives via its customers.
3. The organisation gathers other information, in addition to commendations or complaints (including examples of positive or negative feedback), from its customers regarding the consumer's view of them.

Has this indicator changed since your last assessment?

Yes

No

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

Has this indicator changed since your last assessment?

Yes

No

#### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. Customer opinions are regularly obtained and reviewed on a customer by customer basis.
2. Reasons for actual and perceived shortfalls in performance are understood.
3. Customer opinion has improved following changes made as a result of feedback.
4. Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.

Please see the [Glossary](#) for a definition of the terms 'measures and indicators', 'performance'.

## Criterion 4: Financial management



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

Has this indicator changed since your last assessment? Yes No

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.



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

Has this indicator changed since your last assessment? Yes No

4.2.1  
Clear and effective  
management of the payroll  
can be evidenced

This indicator links to:

- 6.1.3 Term and conditions of employment exist which are implemented and communicated.
- 6.4.2 The organisation complies with current legislation on staff wages.



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

Has this indicator changed since your last assessment?

Yes

No

4.2.2

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

**REQUIRED ACHIEVEMENT LEVEL**

1. Financial resources and liabilities are managed and controlled through, for example:
  - audited or certified annual accounts;
  - sales ledger or automated financial package;
  - purchase ledger or automated financial package;
  - cash flow and expenses;
  - risk management including contingency arrangements such as advanced or staged payments, or utilising the services of a factoring company;
  - asset management.
2. These processes ensure the use of financial resources to support the plan for the business.



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

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

Has this indicator changed since your last assessment?

Yes

No

### 4.2.3

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

#### REQUIRED ACHIEVEMENT LEVEL

1. All directors, partners, people with significant control or any sole trader must:
  - hold the appropriate SIA licence(s);
  - not be an un-discharged bankrupt;
  - not be a person to whom a moratorium period under a debt relief order relates;
  - not be a person subject to a bankruptcy restriction order or debt restriction order;
  - not be subject to disqualification under the Company Directors Disqualification Act 1986 or the Company Directors Disqualification (Northern Ireland) Order 2002 as amended;
  - Not be a sole trader, director, partner or person with significant control of any business or firm providing security industry services that was placed in liquidation, administration or receivership within the previous 12 months, unless they have taken adequate steps to satisfy the SIA that they are fit and proper to the circumstances of their case.
2. The accountability and responsibilities of each director, partner or people with significant control are clear.
3. Limited companies meet statutory requirements and file necessary changes to Companies House within the specified time period.
4. There is a clearly defined and communicated management structure, including any links to parent organisation, subsidiaries, groups and franchises.

Please see the [Glossary](#) for a definition of the term 'people with significant control'.

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

Has this indicator changed since your last assessment?      Yes      No

4.2.4

There is sufficient insurance to cover contractual requirements

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





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

Has this indicator changed since your last assessment? Yes No

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.

**REQUIRED ACHIEVEMENT LEVEL**

1. The organisation is aware of and understands developments in the market place in which it operates.
2. The organisation uses this information to:
  - plan;
  - make financial decisions.



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

## 4.4 An SIA approved contractor measures and improves performance against key financial indicators

Has this indicator changed since your last assessment?

Yes

No

### 4.4.1

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

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.
- 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. Performance against key outcomes is regularly reviewed.
2. Measures cover all key aspects of business processes relating to financial resources.
3. Reasons for shortfalls in performance are understood.
4. Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.

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

## Criterion 5: Resource management



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

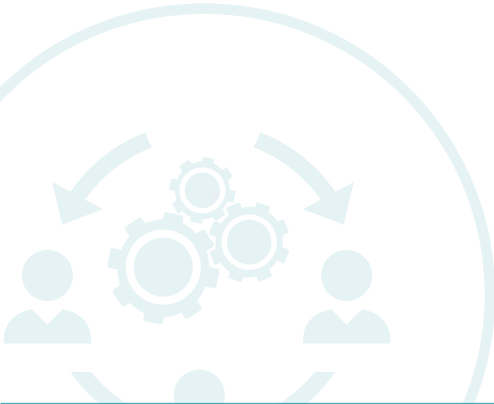
**REQUIRED ACHIEVEMENT LEVEL**

1. Document version control is applied to all service delivery documents.
2. The most up-to-date versions of applicable documents are available at the point of use.

Has this indicator changed since your last assessment?

Yes

No



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

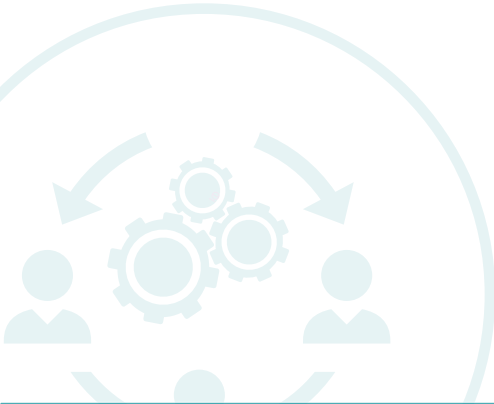
Has this indicator changed since your last assessment?

Yes

No

5.1.2 

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



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

Has this indicator changed since your last assessment?

Yes

No

5.2.1 

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



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

Has this indicator changed since your last assessment?

Yes

No

5.2.2

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

**REQUIRED ACHIEVEMENT LEVEL**

1. The organisation has determined the design, construction, layout and equipment requirements for its control rooms/response rooms.
  - These requirements respond to the needs of staff using these facilities, for example, accessibility.
2. The level of design, construction, layout and equipment is directly related to risks associated with customer contracts.
3. The control rooms/response rooms are appropriately constructed to ensure physical security, safety and integrity, for the protection of staff and the safeguarding of customer records and property.
4. Where the control rooms/response rooms are outsourced, the organisation ensures that the control rooms/response rooms are fit for purpose.



Please see the Glossary for a definition of the term 'control/response room'.

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

Has this indicator changed since your last assessment? Yes No

5.2.3 

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





## 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

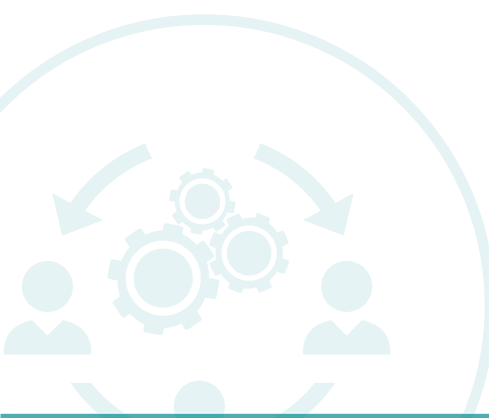
#### REQUIRED ACHIEVEMENT LEVEL

1. The organisation proposes appropriate opportunities, with suppliers and/or customers, in the use of technology to improve service delivery and safety standards, for example, the use of body-cams.

Has this indicator changed since your last assessment?

Yes

No



Please see the [Glossary](#) for a definition of the term 'service delivery'.

## 5.3 An SIA approved contractor measures and improves performance in the management of resources

### 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 of 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. Management of resources and data is regularly reviewed.
2. Monitoring covers all key aspects of resource use, for example, compliance with data protection laws, appropriateness of working environment to business needs, maintenance of equipment.
3. Reasons for inappropriate and/or incorrect use of resources are understood.
4. Some results show positive trends and/or sustained good performance for the period of time the monitoring has been in place.

Has this indicator changed since your last assessment?

Yes

No

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

## Criterion 6: People



6.1 An SIA approved contractor manages its people effectively

6.1.1 

There is an effective recruitment policy

Has this indicator changed since your last assessment?

Yes

No

## 6.1 An SIA approved contractor manages its people effectively

### 6.1.2

#### Staff records are maintained

This indicator links to:

- 4.2.4 There is sufficient insurance to cover contractual requirements

Has this indicator changed since your last assessment?

Yes

No

#### REQUIRED ACHIEVEMENT LEVEL

1. Up to date staff records are maintained which contain:
  - personal details such as name, address;
  - bank details;
  - PAYE information;
  - vetting information where relevant for the role;
  - Private Security Industry Act 2001 licensing information where required such as licence number, expiry date;
  - details of licensing dispensation notices, where relevant;
  - complete employment history as obtained during the recruitment process (five or ten years, depending on the relevant vetting criteria of the organisation);
  - training records;
  - disciplinary and grievance information, where relevant.
2. Licences are regularly checked against the public register and a photographic record of the licence kept as evidence when deploying agency, sub-contracted licenced persons.
3. Driving licences for staff using organisation vehicles and insurances for private vehicles are checked six-monthly with the DVLA and a data copy kept on file.

Please see the [Glossary](#) for a definition of the term 'labour provider'.

## 6.1 An SIA approved contractor manages its people effectively

### 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.

Has this indicator changed since your last assessment?

Yes

No

#### REQUIRED ACHIEVEMENT LEVEL

1. Terms and conditions of employment have been defined for each role, stating:
  - name of employer and staff;
  - job title and/or job description;
  - start date;
  - details of pay and allowances;
  - total number of hours and days required;
  - staff benefits statement (including, for example, pension, provision of uniform, holiday pay and entitlement) – people who are subject to PAYE receive full employment rights of an employee;
  - details of notice and termination period;
  - disciplinary, grievance and appeals procedures;
  - place of work or notification that place of work varies;
  - details of any probationary period;
  - details of any provisional period subject to screening, if applicable;
  - requirements to adhere to policies and procedures;
  - details of any equipment supplied.
2. All staff are given a written copy of terms and conditions of employment within the time period set by legislation.
3. Changes to terms and conditions are discussed with staff prior to implementation.

6.1 An SIA approved contractor manages its people effectively

6.1.4

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

REQUIRED ACHIEVEMENT LEVEL
<ol style="list-style-type: none"> <li>1. There are disciplinary and grievance procedures that:               <ul style="list-style-type: none"> <li>· comply with the minimum legal requirements;</li> <li>· are clearly written and easily understandable by all staff.</li> </ul> </li> <li>2. Staff are given copies of the procedures when they join the organisation.</li> <li>3. The procedures are followed.</li> </ol>

Has this indicator changed since your last assessment?

Yes

No



## 6.1 An SIA approved contractor manages its people effectively

### 6.1.5

A policy exists covering transfer of undertakings which is implemented and communicated

#### REQUIRED ACHIEVEMENT LEVEL

1. The organisation is aware of its obligations under TUPE and there are procedures in place to manage a transfer of undertakings.
2. The organisation co-operates fully in the exchange of information required for a smooth transfer.
3. TUPE information is exchanged in a timely fashion.
4. The organisation can demonstrate how both inward and outward transfers could be handled effectively.
5. The procedures ensure:
  - assessment of the training needs of the staff;
  - induction into the organisation;
  - provision of required training within reasonable specified timeframes;
  - full screening or re-screening of staff where prior screening information is not complete;
  - right to work checks are carried out as part of re-screening;
  - the procedures contain details of how the staff will be integrated into the organisation where practicable.
6. All staff files are assessed to ensure full compatibility with existing staff records.
7. Staff transferred into the business under TUPE are offered tailored information and support to help them settle in.

Has this indicator changed since your last assessment?

Yes

No



6.1 An SIA approved contractor manages its people effectively

6.1.6

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

**REQUIRED ACHIEVEMENT LEVEL**

1. Roles and responsibilities:
  - have been defined for all staff (licensed and unlicensed);
  - are reviewed regularly to ensure and maintain relevance to the business;
  - have been communicated to and are understood by all staff;
  - are understood throughout the whole organisation.
2. There are procedures in place to monitor ongoing awareness of roles and responsibilities.

Has this indicator changed since your last assessment?

Yes

No



6.1 An SIA approved contractor manages its people effectively

6.1.7

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

**REQUIRED ACHIEVEMENT LEVEL**

1. There is an organisation specific equality and diversity policy that:
  - complies with the minimum legal requirements;
  - is clearly written and easily understandable by all staff.
2. Staff are given access to a copy of the procedure when they join the organisation.
3. The policy is followed.

Has this indicator changed since your last assessment? Yes No



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

6.1 An SIA approved contractor manages its people effectively

6.1.8

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

REQUIRED ACHIEVEMENT LEVEL
<ol style="list-style-type: none"> <li>1. Individuals have the opportunity to express their opinion on the way in which the organisation is run, their job and conditions.</li> <li>2. Opinions gathered are recorded.</li> <li>3. Issues raised are acted upon where appropriate and this action is communicated to staff.</li> <li>4. The organisation monitors its progress in improving the satisfaction of its staff.</li> </ol>

Has this indicator changed since your last assessment? Yes No



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

6.2 The SIA approved contractor can demonstrate that its staff are competent

Has this indicator changed since your last assessment?      Yes      No

6.2.1 

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



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

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. An induction pack is given to all staff on the day they start working for the organisation.
2. The induction pack covers:
  - information for licensable staff:
    - adherence to terms and conditions of licence or LDN;
    - the wearing or carrying of correct identification;
    - the requirement to report new criminal convictions and cautions.
  - the organisation's guidelines on:
    - disciplinary and grievance procedure;
    - incident reporting;
    - uniform;
    - personal appearance;
    - health and safety;
    - equality and diversity;
    - general conduct expected;
    - drugs and alcohol policy;
    - confidentiality;
    - requirements for data protection and security;
    - management structure.

Has this indicator changed since your last assessment?

Yes

No

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

### 6.2.3

All staff are trained to the required standard

Has this indicator changed since your last assessment?

Yes

No

#### REQUIRED ACHIEVEMENT LEVEL

1. **All staff** are given adequate role-specific training, including on the:
  - procedures of the organisation;
  - use of any equipment required to carry-out the role.
2. **Staff in supervisory positions** are given specific training (or, where relevant, mentoring) relating to the skills required for leadership, for example:
  - the role of a supervisor;
  - team behaviour;
  - leadership;
  - decision making;
  - problem-solving;
  - communication skills;
  - performance review;
  - time management;
  - customer service.
3. **Staff who require an SIA licence:**
  - have received and passed additional job training, as defined by the relevant training specifications;
  - undergo a skills assessment on joining the organisation to identify their competence level and immediate training needs;
  - are given training on subject-specific modules.
4. All training is documented.
5. The effectiveness of any training is assessed.

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

6.2.4  
Assignment-specific  
training/induction/  
information is given

REQUIRED ACHIEVEMENT LEVEL
<ol style="list-style-type: none"> <li>1. Assignment-specific training/induction/information is given verbally and is supported by documented assignment instructions.</li> <li>2. Staff are supervised:               <ul style="list-style-type: none"> <li>· for the duration of their on-assignment induction at a new location;</li> <li>· over a number of shifts (where the assignment is undertaken as shift work).</li> </ul> </li> </ol>

Has this indicator changed since your last assessment?      Yes      No



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

6.2.5

All staff have training plans and records

**REQUIRED ACHIEVEMENT LEVEL**

1. All staff have training records that show:
  - programme of study completed;
  - dates when training was conducted;
  - details of the training provider and/or trainers involved;
  - certificate expiry dates.
2. The currency of training is monitored to identify when training needs to be renewed.
3. Records of all personal development needs and training undertaken are maintained.

Has this indicator changed since your last assessment?

Yes

No





6.3 An SIA approved contractor appropriately supports its people

Has this indicator changed since your last assessment?      Yes      No

**6.3.1**  
A holiday entitlement policy  
is implemented and  
communicated



## 6.3 An SIA approved contractor appropriately supports its people

### 6.3.2

A pensions policy exists which is implemented and communicated

Has this indicator changed since your last assessment?

Yes

No

#### REQUIRED ACHIEVEMENT LEVEL

1. The organisation offers a workplace pension scheme and the scheme meets minimum standards so is not effected by automatic enrolment (as defined by in the Pensions Act 2008).

OR

2. The organisation has worked out if it must provide a pension scheme under the Pensions Act 2008.

3. The organisation understands and has fulfilled its duties under the Pensions Act 2008, that is, what they need to do if they need to put staff into a pension scheme or what they need to do if they don't need to put staff into a pension scheme.

4. Where there is a requirement to put staff into a pension scheme the organisation:

- has chosen a pension scheme (which is suitable for the organisation and its staff) that is set up for automatic enrolment. The pension scheme has been independently reviewed or regulated by the Financial Conduct Authority;
- has written to all its staff individually to explain how automatic enrolment applies to them;
- has declared its compliance to the Pensions Regulator telling them how it has met its other duties.

5. The organisation fulfils its ongoing duties that include:

- assessing any new staff it takes on to see if they meet the age and earnings criteria to be put into a pension scheme;
- monitoring the ages and earnings of its staff every time it pays them to see if they need to be put into a pension scheme;
- paying at least the minimum contribution levels into the pension scheme;
- dealing with requests to join and leave the pension scheme;

6.3 An SIA approved contractor appropriately supports its people

Has this indicator changed since your last assessment? Yes No

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.



6.3 An SIA approved contractor appropriately supports its people

6.3.4 

An approach to provision of welfare and benefits is in place

Has this indicator changed since your last assessment?

Yes

No



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

6.3 An SIA approved contractor appropriately supports its people

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 is encouraged.
- 7.4.2 Leaders recognise individual and team efforts

**REQUIRED ACHIEVEMENT LEVEL**

1. Training and development needs are agreed and implemented.
2. All staff have at least an annual discussion with a supervisor or manager about their performance which:
  - is based on the views of their immediate supervisor or manager, and these views are supported by appropriate evidence;
  - is two-way and is based on more than a simple tick-list;
  - is documented.

Has this indicator changed since your last assessment?

Yes

No



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

6.3 An SIA approved contractor appropriately supports its people

6.3.6  
Self learning and improvement is encouraged

This indicator links to:

- 6.3.5 A process for the appraisal of staff performance is in place and is implemented.

REQUIRED ACHIEVEMENT LEVEL
<ol style="list-style-type: none"> <li>1. Staff are encouraged to undertake:               <ul style="list-style-type: none"> <li>• relevant/specialist training;</li> <li>• recognised formal qualifications in their chosen relevant disciplines based on national occupational standards;</li> <li>• learning and development outside their chosen relevant disciplines.</li> </ul> </li> <li>2. Requests from staff are supported where possible.</li> <li>3. Staff are aware of the opportunities available to them.</li> <li>4. Assistance with learning activities is offered.</li> </ol>

Has this indicator changed since your last assessment?      Yes      No



6.3 An SIA approved contractor appropriately supports its people

6.3.7

The organisation develops staff, especially those with leadership potential

**REQUIRED ACHIEVEMENT LEVEL**

1. There are procedures in place to assist in the development of staff.
2. Staff who want to develop or who demonstrate leadership potential are identified.

Has this indicator changed since your last assessment? Yes No



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

6.4 An SIA approved contractor complies with its legal obligations when employing people

6.4.1

The organisation adheres to the current legislation on working hours

- REQUIRED ACHIEVEMENT LEVEL**
1. The organisation works within the legal requirements on staff working hours.
  2. Staff are not put under pressure to opt out of the restrictions before the employment contract is signed.
  3. Shift patterns and the number of hours worked are appropriate, to protect the health and safety and ensure the effectiveness of staff.
  4. Discussions take place where appropriate, with customers to encourage shift patterns with shorter hours.

Has this indicator changed since your last assessment?

Yes

No





## 6.4 An SIA approved contractor complies with its legal obligations when employing people

### 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 Term and conditions of employment exist which are implemented and communicated.

Has this indicator changed since your last assessment?

Yes

No



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

Has this indicator changed since your last assessment?

Yes

No

### 6.5.1

#### The organisation regularly reviews performance against key staff performance indicators

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.
- 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 and 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. Staff performance measures relate to performance in service delivery, for example, levels of training and development, competency requirements.
2. They are reviewed as and when discussions about performance take place with the customer.
3. Additional measures cover all key aspects of staff activity, for example, staff turnover and retention, recruitment trends, appraisals being conducted on time.
4. Reasons for shortfalls in performance are understood.
5. Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.

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

Has this indicator changed since your last assessment?

Yes

No

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 and 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.

**REQUIRED ACHIEVEMENT LEVEL**

1. Staff opinions are regularly obtained and reviewed.
2. Reasons for actual and perceived shortfalls in performance are understood.
3. Appropriate actions have been taken on some issues raised by staff.
4. Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.



## Criterion 7: Leadership



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

Has this indicator changed since your last assessment?

Yes

No

7.1.1

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

**REQUIRED ACHIEVEMENT LEVEL**

1. Leaders:
  - have an appropriate knowledge of the legislative framework, common law, working practice and industry standards/codes of practice for their sector and role within the organisation;
  - can apply this knowledge to their organisation.



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

Has this indicator changed since your last assessment?

Yes

No

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. All managers and directors or people with significant control responsible for processes and key personnel:
  - understand all of the procedures within their sphere of responsibility;
  - ensure they are fully implemented.
2. Leaders continue to be involved in the development and implementation of the organisation's policies and procedures to ensure they:
  - are regularly reviewed;
  - remain relevant to the business;
  - are effectively implemented.
3. Leaders are involved in the review of key performance results.
4. Leaders review results and raise and implement any action plans within their own area of responsibility.

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

Has this indicator changed since your last assessment?

Yes

No

### 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.

#### REQUIRED ACHIEVEMENT LEVEL

1. Leaders regularly seek feedback from customers and staff on their strengths and areas for development in the area of leadership.
2. A process for obtaining feedback from customers and staff is followed, which sets out:
  - how feedback is obtained;
  - how feedback is acted upon to drive; improvements in management style.
3. The areas for improvement are noted and actions are taken to improve behaviour.

Please see the [Glossary](#) for a definition of the term 'leader'.



7.3 An SIA approved contractor's leaders maintain an ethical business culture

7.3.1 

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

Has this indicator changed since your last assessment?

Yes

No



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

Has this indicator changed since your last assessment?

Yes

No

### 7.4.1

Leaders are involved in improvement activity, encouraging staff participation where appropriate

#### REQUIRED ACHIEVEMENT LEVEL

1. Leaders are routinely involved in improvement activity, encouraging appropriate staff participation, through suggestions, ideas and active involvement in the service delivery improvement process.
2. There are examples of such improvements that have included, where relevant, both leaders and staff.

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 and 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.

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

Has this indicator changed since your last assessment?

Yes

No

### 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 and is implemented.

#### REQUIRED ACHIEVEMENT LEVEL

1. There are processes in place to recognise individual and team efforts.
2. There are examples of recognition of individual and team efforts.
3. Leaders actively ensure that the processes are fully implemented.

Please see the [Glossary](#) for a definition of the term 'leader'.



7.5 An SIA approved contractor measures and improves performance of the organisation

Has this indicator changed since your last assessment? Yes No

**REQUIRED ACHIEVEMENT LEVEL**

1. Leaders review performance measures and outcomes (via a balanced scorecard or similar). As a minimum, this includes all criteria measures, and relate to the organisation's critical success factors, for example, service delivery, customer satisfaction, contract performance and internal key performance indicators, for example, supplier performance, financial measures, customer service levels, resource/data management, and leadership.
2. Outputs from the balanced scorecard (or similar) are used to inform strategic approach and organisation improvement.
3. Action plans are in place where performance falls below target, or where arrangements are no longer suitable to effectively mitigate threats and risks to customer assets.



Please see the Glossary for a definition of the terms 'critical success factors', 'leader' and 'measures and indicators'.

# Glossary (A-F)

## **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)**

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 and 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 organisation's competitiveness, profitability or efficiency.

## **Corporate social responsibility**

Taking in to 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 individuals 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.

# Glossary (G-L)

## 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.

# Glossary (M-R)

## Management system

The framework of processes, related performance/result indicators 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 applied 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, for example, with 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, Limited Liability Partnerships (LLP) and Self-employed (SE) 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 overarching 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 instruction that explains 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, equipment etc.

## PSIA

Private Security Industry Act 2001.

## Resource

Resource in order to support strategy and policies and the effective operation of service delivery processes.

## Response room

See Control/response room.

# Glossary (S-Z)

## 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 etc.

## Stakeholder

Person or organisation with a vested interest in the outcome of any activity, for example, procedure, process, business etc.

## 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 policies.

# Self-assessment summary



## Criterion 1: Strategy

You have met  out of 11 required indicators for strategy.  
Your score, based on the improvement levels you have achieved, is  out of a possible 21



## Criterion 2: Service delivery

You have met  out of 13 required indicators for service delivery.  
Your score, based on the improvement levels you have achieved, is  out of a possible 15



## Criterion 3: Commercial relationship management

You have met  out of 9 required indicators for commercial relationship management.  
Your score, based on the improvement levels you have achieved, is  out of a possible 18



## Criterion 4: Financial management

You have met  out of 7 required indicators for financial management.  
Your score, based on the improvement levels you have achieved, is  out of a possible 15



## Criterion 5: Resource management

You have met  out of 7 required indicators for resource management.  
Your score, based on the improvement levels you have achieved, is  out of a possible 11



## Criterion 6: People

You have met  out of 24 required indicators for people.  
Your score, based on the improvement levels you have achieved, is  out of a possible 52



## Criterion 7: Leadership

You have met  out of 7 required indicators for leadership.  
Your score, based on the improvement levels you have achieved, is  out of a possible 13

You have met  out of 78 indicators.

Your overall score is  out of a possible 145.

Remember, you must meet the required achievement level of all the indicators before you are eligible for approval. Once you have met all 78 indicators you should download the application form from the link below, complete and submit it with your score to SIA. When you receive a letter of acceptance from us, you must appoint an assessor and submit your self-assessment data to them – see instructions below. The data includes details of the levels you have achieved for each indicator and any notes you have entered.

### Instructions to submit your self-assessment data

1. Ensure you have completed the overview of your organisation in section 8.
2. Enter the date and time of submission below, and click the **SUBMIT DATA** button.
3. A new message window will open in your default email application with the data file included as an attachment. Enter the email address of your assessor, replacing the generic address, add your message to the body of the email and send.

At any time during your self-assessment, you can submit your data to yourself, following the instructions above, using **your** email address instead of the assessor's. Save the data file attachment you receive and import it into the 'ACS Self-Assessment Report' PDF following the instructions provided in that file.

Date and time of submission: