



Security Industry Authority

Approved Contractor Scheme
Framework for
Application of ACS Sanctions

Background

The SIA is committed to the Government's principles of good regulation. We aim to be:

- Proportionate
- Accountable
- Consistent
- Transparent
- Targeted

This framework is designed to ensure that these principles are applied when the SIA takes action in respect of a breach of ACS Terms & Conditions by an approved contractor.

While it is important to remember that any breach of ACS Terms & Conditions may lead to withdrawal of ACS status, in practice the SIA will seek to work with the approved contractor to obtain conformance with Terms & Conditions whenever this can be achieved without undermining the credibility of approved contractor status.

The SIA aims to be consistent in the application of sanctions and this framework details the action the SIA expects to take, in the situations described. There may however, be particular occasions when variations from the 'ACS sanction' may be appropriate; such action should be approved by the Assistant Director of the Approved Contractor Scheme.

Sanctions Framework

Situation	ACS Sanction	Notes
1. Up to 3 improvement needs ³ identified during ACS assessment	<p>Require action plan addressing improvement needs within 5 working days.</p> <p>Require successful revisit within 6 weeks of initial assessment.</p>	<ol style="list-style-type: none"> 1. If improvement needs relate to LDN then use of LDN may be restricted or withdrawn. 2. Withdraw approval² if improvement needs not met within required timescale or significant progress demonstrated. 3. Any PSIA offences must be addressed immediately. Further action will be considered by the SIA Compliance and Investigation Team.
2. Between 4 to 6 improvement needs ³ identified during ACS assessment	<p>Require action plan and revisit as above plus:</p> <p>Restrict¹ use of LDN</p>	<ol style="list-style-type: none"> 1. If improvement needs relate to LDN then use of LDN may withdrawn. 2. Any PSIA offences must be addressed immediately. Further action will be considered by the SIA Compliance and Investigation Team. 3. Withdraw approval² if improvement needs not met within required timescale or significant progress demonstrated. 4. ACS QA Manager to visit to confirm progress.
3. More than 6 improvement needs ³ identified during ACS assessment	<p>Withdraw approval²</p> <p>Restrict¹ use of LDN pending withdrawal of approval</p>	<ol style="list-style-type: none"> 1. If improvement needs relate to LDN then use of LDN may withdrawn. 2. Any PSIA offences must be addressed immediately. Further action will be considered by the SIA Compliance and Investigation Team.
4. Individual improvement needs ³ identified outside the ACS assessment process	<p>Require action plan addressing improvement need within 5 working days.</p>	<ol style="list-style-type: none"> 1. If improvement needs relate to LDN then use of LDN may be restricted or withdrawn. 2. Any PSIA offences must be addressed immediately. Further action will be considered by the SIA Compliance and Investigation Team⁴. 3. Implementation of the action plan will be verified by special instruction at the next assessment or by ACS QA Manager visit.

Situation	ACS Sanction	Notes
5. Company or Directors under criminal investigation or Director's SIA licence suspended	Withdraw approval ² Withdraw use of LDN pending withdrawal of approval	
6. No ACS assessment within required period	Withdraw approval ² Restrict ¹ use of LDN pending withdrawal of approval	1. Except where any delay has been agreed by the SIA and the relevant ACS assessing body
7. Annual re-registration not completed	Withdraw approval ²	
8. Complaint	Action determined on a case by case basis.	1. Potential actions include: a. Special instruction at next ACS assessment b. QA Manager visit c. Additional ACS assessment d. Restrict or withdraw LDN e. Withdraw approval f. No further action
9. SIA improvement notice ⁴ is issued	Restrict ¹ use of LDN for relevant sector(s) until improvement notice is lifted	1. If conditions in the notice of improvement are not met then withdraw approval ² . 2. If the notice of improvement raises conformance issues then the date of ACS assessment may be brought forward. 3. If the notice of improvement covers activities for which the company is not approved then any application for the additional activity to be approved will be refused or placed on hold until the company has been fully compliant for a period of 6 months.

¹ Restriction of LDN authority means that no new staff may be deployed under LDN. Staff already working under LDN at the time the restriction comes into force may continue to work, subject to normal ACS terms and conditions, until their licence is issued.

² Withdrawal of approval starts with a notice of intent to withdraw and is subject to appeal initially to the SIA and subsequently to local Courts.

³ An improvement need can be any non-conformance with ACS Terms & Conditions.

⁴ For further information please see the SIA enforcement policy available from our website or directly via this link: ['Enforcement Policy Code of Practice'](#) (download size: 666kb).

Review and Appeal

This sanctions framework will be subject to annual review to ensure they continue to meet the objectives.

If an Approved Contractor is not satisfied with a decision under this policy they are able to seek a review of the decision by writing to:

Approved Contractor Scheme
PO Box 49768
London
WC1V 6WY

Any review will be carried out by the Deputy Chief Executive of the SIA and will be handled in accordance with our published complaints handling procedures.