



Security Industry Authority

Approved Contractor Scheme  
Summary of Main Changes to  
Self-Assessment Workbook  
January 2017



## Summary of main changes to ACS SAW – January 2017

Indicator		Impact	Detail	Reason
1.2.1	Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement.	Medium	Achievement level from Box 3 to Box 4. Text: "... all appropriate leaders. Measures are amended/updated based on performance." added in Box 4 within the required achievement level.	Raised Bar  Enhanced requirement  Clarification of the standard



Indicator		Impact	Detail	Reason
1.2.3	Procedures have been defined to ensure compliance to working standards or codes of practice and are fully implemented.	Medium	<p>Achievement level from box 2 to Box 3. Text: “The organisation has up to date copies of relevant industry standards it is working to.” added to para 2 Box 2.</p> <p>Text: “code of practice that are relevant to them” added to para 1 achievement level Box 3.</p> <p>Reference to Licence Management Functionality Requirements:- Text: “Where applicable the working standards include the SIA: Code of Connection; Licence Management Manual” added to achievement level Box 3. Text: “Where applicable this activity includes audits to demonstrate adherence to Licence Management eligibility criteria and conditions” added to para 7 achievement level Box 3.</p> <p>Replaced “Employees” to ‘Staff’ to capture everyone within the organisation.</p> <p>Text: “The organisation holds UKAS accredited certification covering all the relevant British Standards” reworded in Box 4.</p> <p>Text: “The organisation can demonstrate that it participates constructively in the development of private security industry code(s) of practice” reworded in Box 5.</p>	<p>Raised Bar</p> <p>Raising standards</p> <p>Clarification of the standard</p> <p>Good Practice and reinforce requirement for effectiveness</p> <p>Licence Management Functionality Requirements</p>



Indicator		Impact	Detail	Reason
1.3.1	A plan for the business exists with a clear review schedule.	Low	<p>Text: “A sound plan for the business exists with an effective review schedule” reworded within the sub-indicator 1.3.1.</p> <p>Text: “A plan for the business also reflects: the approach to the business of the organisation, the needs and expectations of customers and staff, is relevant to the services being provided” added to para 1 achievement level Box 3.</p>	<p>Clarification of the standard</p> <p>Reinforce requirement for effectiveness</p>
2.1.1	Key service delivery processes have been identified and are understood by all.	Medium	<p>Achievement level dropped from Box 4 to Box 3.</p> <p>Text: “These have standards of performance which can be assessed for compliance” moved to Box 2 from Box 3.</p> <p>Good Practice Box 4 contents reworded and moved to achievement level box 3. To ensure that service delivery testing is more than just routine site visits and inspections. This is now an accepted practice within the industry.</p> <p>Good Practice Box 5 contents moved Box 4.</p>	<p>Bar reduced</p> <p>Raising standards</p> <p>Clarification of the standard</p>



Indicator		Impact	Detail	Reason
2.2.1	There is a sound plan to ensure continuity of service delivery.	Low	<p>Text: “There is a current and effective plan to ensure continuity of service delivery.” reworded within the sub-indicator 2.2.1.</p> <p>Text: “The plans are relevant to the service being provided”. added to para 2 achievement level Box 2</p> <p>Text: “The business continuity plan (BCP) has been tested against some of the highest risk scenarios”. Added achievement level Box 2 to ensure that BCP is tested for effectiveness.</p> <p>Text: “The organisation has been externally accredited to a business continuity best practice system, such as BS EN ISO 22301 or equivalent. The organisation can demonstrate that it effectively contributes to business continuity best practice and/or standards development. “added to para 1 Box 5.</p>	<p>Clarification of the standard</p> <p>Enhanced requirement</p> <p>Recognising accepted practice</p>
2.3.1	The organisation understands its customers’ requirements	Low	<p>Text: “The organisation meets its customers’ requirements.” reworded within the sub-indicator 2.3.1.</p> <p>Text: “The customer’s security requirements are reviewed at these...” added to para 2 achievement level Box 4.</p> <p>Text: “There are procedures in place to monitor the awareness of staff of customer requirements” new para 4 added to achievement level Box 4.</p> <p>Good Practice Box 5 contents moved to achievement level Box 4.</p> <p>Replaced “Employees” with ‘Staff’ to capture everyone within the organisation.</p>	<p>Clarification of the standard</p> <p>Enhanced requirement</p> <p>Duplication removed</p>



Indicator		Impact	Detail	Reason
2.3.3	The management of contractual arrangements with the customer has been defined and implemented.	Medium	Achievement level from Box 4 to Box 5.	Raised Bar Raising standards Contractors self-assess at this level



<p>2.4.1</p>	<p>Customers are made aware of and agree to the provision of service via subcontractors.</p>	<p>Medium/High</p>	<p>Text: "Use of subcontractors is agreed with customers and subject to defined quality assurance procedures." Sub-indicator contents reworded in 2.4.1.</p> <p>Text: "Subcontractors are employed as and when required. Customers are advised by the organisation that subcontractors are being used. The use of subcontractors is agreed with the customer before their deployment. The customer has the opportunity to ask that subcontractor(s) or labour provider(s) is (are) removed from any particular assignment. Subcontractors are required to hold a valid SIA licence." added to Box 1</p> <p>Text:" There are implemented procedures for the selection of subcontractors which ensure appropriate vetting and screening procedures. All subcontractors sign a confidentiality agreement. All subcontractors are given contract terms and conditions of engagement and the provision of equipment is agreed and documented in the contract." added to Box 2</p> <p>Text: "All subcontractors used to deliver a security service are SIA approved contractors. Subcontractors are not allowed to subcontract further without SIA approval. All sub-contractors are paid on an invoice only basis and within contractually agreed timeframes." added to Box 3.</p> <p>Text: "Where appropriate, a process exists for the audit of the performance of sub-contractors. Sub-contractor or labour provider audits include on-site visits." added to Box 4 within the required achievement level.</p> <p>Text: "Performance measures are used to monitor sub-contractors.</p>	<p>Clarification of the standard</p> <p>Enhanced requirement</p> <p>Raising standards</p> <p>Duplication removed</p> <p>Reinforce requirement for effectiveness</p>
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			<p>Feedback is obtained from customers relating to subcontractors performance and fed back to subcontractors to identify areas of improvement. Good practice added to Box 5.</p> <p><i>3.1.3 sub-indicator contents aligned to reduce duplication.</i></p>	
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Indicator		Impact	Detail	Reason
2.4.2	Customer and consumer performance indicators and service level agreements have been established.	Low	Text: "Effective customer and consumer performance indicators and service level agreements have been established." Sub-indicator contents reworded in 2.4.2.	Clarification of the standard
2.4.3	Defined and implemented incident procedures exist.	Medium	Achievement level from Box 3 to Box 4. No change to contents just raised the requirements. Text: "Incident procedures are tested periodically by management and lessons learned are used to improve processes." good practice now added to Box 5.	Raised Bar Raising standards
2.4.4	All procedures are regularly reviewed.	Low	Text: "Improvements made to service delivery processes, as a result of review, can be identified by the organisation". New para 2 added to achievement level Box 3.	Raising standards
2.4.5	Procedures exist to ensure the attendance of employees on customer sites.	Low	Text: "Effective procedures exist to ensure the attendance of staff on customer sites." Sub-indicator contents reworded in 2.4.5.  Text: "Email or telephone means are used to register attendance at customer sites." moved from Box 5 to Box 4.  Text: "Technology is used effectively to alert the businesses to the whereabouts of lone workers and monitor their safety." Revised wordings in Box 5.	Clarification of the standard  Enhanced requirement  Enhanced Good practice

Indicator	Impact	Detail	Reason
<p>3.1.1</p>	<p>Purchasing procedures have been identified and are implemented.</p>	<p>Medium</p> <p>Text: “Sound purchasing procedures are implemented.” Sub-indicator contents reworded in 3.1.1. Achievement level from Box 2 to Box 3. No change to contents just raised the requirements.</p> <p>Text “Where the organisation is using a consultant to support the management of the organisation’s ACS application and approval. Additional checks are in place to ensure the consultant’s suitability. Additional checks might include”</p> <ul style="list-style-type: none"> <li>• a positive check on the consultant’s track record and references</li> <li>• knowledge of the private security industry</li> <li>• reviewing the consultant’s continuous professional development and how they keep up to date with the industry</li> </ul> <p>added to Box 2 para 3.</p> <p>Removed para 4 text from Box 2.</p> <p>Text “Preferred suppliers are selected on the basis that their approach to business and policies are consistent with their own organisation. For example: Child labour; Forced labour, Health &amp; Safety; Discrimination, Freedom of association; Fair pay for staff; Anti-corruption; Environmental impact and Working hours.” moved to Box 4 from Box 5.</p> <p>Text: “The ethical purchasing policy is implemented and suppliers are audited against it,” Revised good practice added to Box 5.</p>	<p>Raised Bar</p> <p>Raising standards</p> <p>Enhanced Good practice</p> <p>Clarification of the standard</p>



Indicator		Impact	Detail	Reason
3.1.2	The organisation works with its suppliers to improve performance against agreed requirements.	Low	<p>Text: “The organisation works in partnership with its suppliers to improve performance.” Sub-indicator contents reworded in 3.1.2.</p> <p>Replaced “Suppliers” to ‘including labour providers/sub-contractors’ to capture everyone within the supplier chain. Reworded in Boxes 2 – 5.</p> <p>Text “suppliers including labour providers/ sub-contractors are paid within the contractually agreed timescales”. added to Box 3 para 3 within the required achievement level.</p>	<p>Clarification of the standard</p> <p>Reinforce requirements for effectiveness</p>
3.1.3	A selection process for subcontractors exists and is used.	N/a	Requirements merged with sub-indicator 2.4.1 to reduce duplication.	<b>Not In Use</b>



Indicator		Impact	Detail	Reason
3.2.1	Professional advice is offered to customers on the best approach to meet their needs.	Low	<p>Replaced ‘Skilled’ to “Competent” to recognise individual’s ability to provide advice. Reworded in Boxes 2 – 3.</p> <p>Text “These discussions are conducted by appropriate competent personnel to ensure the right advice is given. When a customer specifies a level of security that is not appropriate, then the customer is told of the implications.” added to Box 3 para 3 and 4 within the required achievement level.</p> <p>Text “Customers are encouraged to review their security requirements regularly. The business offers appropriate assistance to do this. The organisation highlights defects in the customer’s security arrangements to them.” added to Box 5 para 2 and 3. Box 3 achievement level – added “All aspects of the previous column plus”.</p>	<p>Raising standards</p> <p>Enhanced requirement</p> <p>Enhanced Good practice</p>
3.2.2	An approach to responding to tender/request for services exists and is implemented.	Low	<p>Text: “An effective approach to responding to tender/request for services is implemented.” Sub-indicator contents reworded in 3.2.2.</p> <p>Reference to “which evaluates” added in Box 4</p>	Clarification of the standard

Indicator		Impact	Detail	Reason
3.2.3	A process for canvassing and obtaining new business exists and is implemented.	Low	<p>Text “The process is based around ethical behaviour and integrity. It clearly links to the approach to business of the organisation.” Moved from Box 2 to Box 3 para 1 within the required achievement level.</p> <p>Text” The Approved Contractors’ online profile is reviewed before every tender submission to ensure currency and accuracy. The company uses a formal sales funnel approach with KPIs in place at each stage of the funnel. “Good practice now added to Box 5.</p>	<p>Raising standards</p> <p>Requirements enhanced</p>
3.3.1	A process for ongoing customer site visits has been defined and implemented.	Low	<p>Text: “A process for customer site visits is implemented.” Sub-indicator contents reworded in 3.3.1.</p> <p>Text “...and the method of confirming the visits have taken place.” added to Box 2 para 2.</p> <p>Text “Customer site visits are conducted regularly and have a clear purpose.” reworded in Box 3 para 1 within the required achievement level.</p> <p>Text “Senior management regularly visit customer sites and there is a method of confirming the visits have taken place.” Reworded in Box 4 para 2.</p> <p>Text word “...management...” added to Box 5 para 1.</p>	<p>Clarification of the standard</p> <p>Good Practice and reinforce requirement for effectiveness</p>

Indicator		Impact	Detail	Reason
3.3.2	A customer complaints procedure is in place and implemented.	Low	<p>Text “All customer complaints are”:</p> <ul style="list-style-type: none"> <li>• Recorded</li> <li>• handled robustly and objectively</li> <li>• analysed to look for patterns</li> </ul> <p>Reworded in Box 3 para 1 within the required achievement level.</p> <p>Text “Information on complaints received and their resolution is made available on request to external stakeholders.” added to Box 4 para 2.</p> <p>Text” The company has used ISO 10002 during the development of its complaints handling procedures.</p> <p>Information on complaints received and their resolution is published. “reworded in Box 5.</p>	<p>Clarification of the standard</p> <p>Requirements enhanced</p>
3.4.2	An approach to the management of consumer contact is in place and implemented.	Low	<p>Text: “An approach to consumer contact is implemented. “Sub-indicator contents reworded in 3.4.2.</p> <p>Text “commendations or complaints (including items of positive or negative feedback),” added to Box 2 para 1 and Box 3 para 1 within the achievement level.</p>	<p>Clarification of the standard</p>



Indicator		Impact	Detail	Reason
4.1.1	Two years accounts can be presented and/or the availability of funding for the achievement of the plan for the business can be evidenced.	Low	<p>Text: “Two years accounts can be presented and/or the availability of funding for the achievement of the plan for the business can be demonstrated. “ Sub-indicator contents reworded in 4.1.1.</p> <p>Text “...or Scottish Decrees.” added to Box 2 para 3.</p> <p>Text “...credit rating and understands how this has been generated.” added to Box 3 para 3 within the required achievement level.</p> <p>Text “The organisation publishes its accounts. The organisation has its accounts independently audited. The organisation has its accounts and financial statements audited by an independent certified public accountant. ” added to Box 5.</p>	<p>Raising standards in finance</p> <p>Clarification of the standard</p> <p>Good Practice and reinforce requirement for effectiveness</p>
4.2.1	Clear and effective management of the payroll can be evidenced.	Low	<p>Text: “...HMRC guidance including RTI and the Income Tax.” added to Box 2 para 4</p> <p>Text”...e.g.: Where payments are made to labour providers/agencies who then pay individuals. The business should undertake due diligence to ensure individuals are paid within an agreed period.” added to Box 3 para 2 within the required achievement level.</p> <p>Text: “Staff are paid through an automated payroll system.” Reworded in Box 4 to reduce duplication.</p> <p>Replaced “Employees” to ‘Staff’ to capture everyone within the organisation.</p>	<p>Clarification of the standard</p> <p>Raising standards in finance</p>



Indicator		Impact	Detail	Reason
4.2.3	A clear 'fit and proper' management structure with defined and understood authority levels is in place.	Low	<p>Text: "The accountability and responsibilities of each director, partner or people with significant control is clear." added to Box 2 para 1 within the required achievement level.</p> <p>Text: "Staff' knowledge of the management structure is checked as part of staff feedback mechanisms. Where relevant customers knowledge of the management structure is checked as part of customer feedback mechanisms. Links to subsidiaries/parent companies and group structures are explained on company websites." added to Box 3.</p> <p>Text: "Representatives of the business are named on the company website and promotional material (where relevant) Authority levels have been defined and are understood as required to ensure the smooth running of the organisation." good practice now added to Box 4.</p> <p>Replaced "Employees" to 'Staff' to capture everyone within the organisation.</p>	<p>Good Practice and reinforce requirement for effectiveness</p> <p>Clarification of the standard</p> <p>Raising standards</p>



Indicator		Impact	Detail	Reason
4.3.1	There is sufficient insurance cover to meet contractual requirements.	Low	<p>Text: Specific examples e.g. “£5 million for public liability , £5 million for employer liability.” added to Box 2 bullet points 1 and 2 within the required achievement level.</p> <p>Text: “Subcontractors are covered under the organisations own insurance cover where they do not have their own. The business insurance costs are not passed onto staff.” added to Box 2 para 2 within the required achievement level.</p> <p>Text:“ The organisation is insured for over and above the minimum of £5million for both public and employers liability insurance Insurance cover is effectively reviewed and adjusted as necessary.” good practice now added to Box 3.</p> <p>Text: “The business has identified the limitations of its insurance cover and has undertaken suitable actions to mitigate, reduce or transfer the resultant risks.” good practice now added to Box 4.</p> <p>Text: “The business offers critical illness cover to all staff.” good practice now added to Box 5.</p>	<p>Good Practice and reinforce requirement for effectiveness</p> <p>Raising standards</p>



Indicator		Impact	Detail	Reason
4.4.1	Analysis of the market place in which the organisation operates is conducted.	Low	<p>Text: “Effective analysis of the market place in which the organisation operates is conducted. “ Sub-indicator contents reworded in 4.4.1.</p> <p>Text:” The organisation is aware of and understands developments in its market place It uses this information to -</p> <ul style="list-style-type: none"><li>• plan</li><li>• make financial decisions.”</li></ul> <p>Reworded Box 2 within the required achievement level.</p> <p>Text:” The organisation understands and monitors its direct competitors.” added to Box 3 para 2 within the required achievement level.</p>	<p>Clarification of standard</p> <p>Raising standards</p>



Indicator		Impact	Detail	Reason
5.1.1	Information key to the business has been identified and is produced and delivered in an effective and timely manner to relevant employees and other stakeholders	Low	<p>Text: "Information key to the business is delivered in an effective manner to staff and other stakeholders. " Sub-indicator contents reworded in 5.1.1.</p> <p>Text:" The key service delivery information is delivered in an effective and timely manner to staff and other stakeholders." reworded in Box 2 within the required achievement level.</p> <p>All information is produced on a regular basis in line with organisational requirements." Reworded para 3 of Box 3.</p> <p>Reference to Licence Management Functionality Requirements:- Text: "Where applicable: An information security policy exists which is consistent with the SIA code of connection. The organisation notifies the SIA upon becoming aware of any security incident /breach of security including, but not limited to an actual, potential or attempted breach, or threat to, their information security policy where it relates to SIA licensing." added to Box 5.</p>	<p>Clarification of standard</p> <p>Duplication removed</p> <p>Good Practice and reinforce requirement for effectiveness</p> <p>Licence Management Functionality Requirements</p>

Indicator		Impact	Detail	Reason
5.1.2	Relevant versions of applicable documents are available at the point of use.	Low	<p>Achievement level dropped from Box 3 to Box 2.</p> <p>Text” The most up to date versions of applicable documents are available at the point of use.” Moved data from Box 3 to Box 2 within the required achievement level.</p> <p>Text: “Document version control is applied effectively to all key documents.” reworded within Box 3.</p> <p>Text: “Staff have the opportunity to suggest improvements to document handling...” reworded in Box 4.</p> <p>Replaced “Employees” to ‘Staff’ to capture everyone within the organisation.</p>	<p>Bar Dropped</p> <p>Duplication Removed</p> <p>Clarification of the standard</p>
5.1.3	Adherence to the Data Protection Act 1998 is apparent.	Low	<p>Text “Where applicable: The scope of ICO registration must include the purpose of SIA licence ‘after processing’” added to Box 1</p> <p>Text” All staff receive training outlining their individual and organisational responsibilities for data protection compliance. Refresher training is conducted where appropriate. There are procedures in place to monitor staff awareness of their own and the organisation’s responsibilities for data protection.” Removed from Box 3 and added to Box 2 within the required achievement level.</p> <p>Good Practice contents from Box 4 moved to Box 3.</p> <p>Good Practice contents from Box 5 moved to Box 4.</p> <p>No good practice within Box 5</p> <p>Replaced “Employees” to ‘Staff’ to capture everyone within the organisation.</p>	<p>Clarification of standard</p> <p>Raising standards</p> <p>Duplication Removed</p>



Indicator		Impact	Detail	Reason
5.14	Personnel records and other key information are maintained in accordance with legal requirements.	Low	Reference to Licence Management Functionality Requirements:- Text: “Where applicable retain a copy of all identity documents used to verify the SIA Licence Applicant’s identity in the format specified by the SIA and to the security standard specified in the Licence Management Manual for 7 years following a Licence Applicant leaving the Approved Contractor’s business”. added to Box 3.  Text: “Staff are given the opportunity to review and update their records.” good practice added to Box 4.	Licence Management Functionality Requirements  Raising standards
5.2.1	Lease and ownership papers are appropriate to the relevant premises.	N/a	Requirements merged with sub-indicator 5.2.2 to reduce duplication.	<b>Not In Use</b>



Indicator		Impact	Detail	Reason
5.2.2	Administrative offices are fit for purpose.	Medium/Low	<p>Text: “Lease or ownership papers are appropriate to the business premises, providing administrative and any operational centres that are fit for purpose. “ Sub-indicator contents reworded in 5.2.2.</p> <p>Text: “The premises occupied are either owned or leased by the business, consistent with the business plan. The correspondence and any promotional material complies with company law. Suitable accommodation is fit for the business purpose and is secure.</p> <p>The working environment has been assessed for the business needs and is properly managed.</p> <p>Factors considered include;</p> <ul style="list-style-type: none"> <li>• Adequate lighting and sanitary facilities</li> <li>• Workstation assessments</li> <li>• Adequate storage and waste disposal</li> <li>• Heating and ventilation</li> <li>• Restroom</li> <li>• Fire and Emergency equipment</li> <li>• General cleaning and housekeeping” added to Box 2</li> </ul> <p>Text: “Feedback is sought from employees regarding the suitability of the working environment and any improvements made by the organisation.” added to Box 3.</p> <p>Reference to Licence Management Functionality Requirements:-</p> <p>Text: “Where applicable the work environment of administration offices and/or operational centres has been assessed and is effectively managed to process SIA licence applications. i.e. ability to process SIA licence applications, including uploading documents.” added to Box 3.</p> <p><i>5.2.1 sub-indicator contents aligned to reduce duplication.</i></p>	<p>Raising standards</p> <p>Simplification of the standard</p> <p>Duplication Removed</p> <p>Licence Management Functionality Requirements</p>



Indicator		Impact	Detail	Reason
5.2.3	Control rooms/response rooms are designed, fitted and equipped in a manner appropriate to purpose.	Low	Achievement level Box 1 to Box 2. Box 2 to 3 and Box 3 4 No change to contents just raised the requirements. Text:” The control rooms / response rooms have limited communication systems and processes in place.” added to Box 1 to bring in-line with other achievement levels.	Raising standards  Good Practice and reinforce requirement for effectiveness
5.2.4	Equipment owned is recorded, adequately maintained and appropriate for its purpose.	Low	Reference to Licence Management Functionality Requirements:- Text: “Where applicable equipment used for licence application process meets requirements (where specified) & are fit for purpose.” added to Box 3 within the achievement level.	Licence Management Functionality Requirements



Indicator		Impact	Detail	Reason
5.2.5	Service enhancing technology is used to improve service delivery to customers and safety for employees.	Medium/Low	<p>Text: "Service delivery to customers and safety for staff are improved by investment in technology." Sub-indicator contents reworded in 5.2.5.</p> <p>Text:" The organisation does not invest in any technology to improve or enhance service delivery to its customers or staff safety." Reworded in Box 1.</p> <p>Text:" The organisation proposes appropriate opportunities, with suppliers and/or customers, in the use of technology to improve service delivery and safety standards." Reworded in Box 2 within the achievement level.</p> <p>Text: "The organisation actively encourages the adoption of proven service enhancing technology to improve service delivery and staff safety." Reworded in Box 3.</p> <p>Text: "The organisation evaluates new and emerging technology to further enhance service delivery to customers and/or staff safety." Reworded in Box 4</p> <p>Replaced "Employees" to 'Staff' to capture everyone within the organisation.</p>	<p>Clarification of standard</p> <p>Raising standards</p> <p>Good Practice and reinforce requirement for effectiveness</p>



<p>6.1.1</p>	<p>There is a defined and implemented recruitment policy.</p>	<p>High</p>	<p>Text: “There is an effective recruitment policy.” Sub-indicator contents reworded in 6.1.1.  Text: “conducted...Interview notes are...documented. “added to para 2 in Box 2 within the required achievement level.  Reference to Licence Management Functionality Requirements:-  Test: “Where applicable the organisation ensures that all Key Staff processing licensing applications meet the Key Staff Criteria and are security screened to BS7858. “added to para 5 in Box 2 within the required achievement level  Text: “Feedback is provided to interview candidates who fail to obtain a role.” Added to Box 3 as bullet point 2.  Reference to Licence Management Functionality Requirements:-  Text:” Where applicable the confirmation of identify and address include verification of original documents required when submitting an application for an SIA licence. i.e.</p> <p>Two identity documents from group A. At least one document must show your current address and at least one document must show your date of birth.  <b>Or</b>  One identity document from group A and two documents from group B. At least one document must show your current address and at least one document must show your date of birth.” Added to Box 3.</p> <p>Text: “The organisation works with re-settlement and/or employment organisations to help the unemployed back into work. “good practice added to Box 4.  Text: “The organisation offers a guaranteed interview scheme to disabled candidates. The organisation holds Investors in People (or equivalent) accreditation. Good practice added to Box 5.</p>	<p>Clarification of standard</p> <p>Good Practice and reinforce requirement for effectiveness</p> <p>Licence Management Functionality Requirements</p>
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Indicator		Impact	Detail	Reason
6.1.2	Staff records are maintained	Low	<p>Re-numbered to align with training requirements.</p> <p>Text: “Staff records contain personal and bank details. Staff records are occasionally checked to ensure the information is up to date” added to Box 1            Text: “... and self-employed.” added to Box 3 para 2 within the achievement level.</p> <p>Also added new text to Box 2 para 1. ‘Staff records are maintained and checked for all staff’.</p> <p><b>Sub-indicator previously known as 6.1.4.</b></p>	<p>Aligned with training requirements</p> <p>Consistence</p> <p>Clarification of standard</p>
6.1.3	A grievance procedure is in place which is implemented and communicated.	Low	<p>No change to contents, re-numbered to align with training requirements.</p> <p><b>Sub-indicator previously known as 6.1.5.</b></p>	<p>Aligned with training requirements</p> <p>Consistency</p>
6.1.4	Terms and conditions of employment exist which are implemented and communicated.	Low	<p>Text: “Terms and Conditions.” replace “contracts”. in Boxes 2-4.</p> <p><b>Sub-indicator previously known as 6.1.6.</b></p>	<p>Aligned with training requirements</p> <p>Clarification of standard</p>
6.1.5	A disciplinary process is in place which is implemented and communicated.	Low	<p>No change to contents, re-numbered to align with training requirements.</p> <p><b>Sub-indicator previously known as 6.1.7.</b></p>	<p>Aligned with training requirements</p>



Indicator		Impact	Detail	Reason
6.1.6	A policy exists covering 'Transfer of Undertakings' which is implemented and communicated.	Low	<p>Text: "right to work checks are carried out as part of re-screening." Added to Box 2 bullet point 5 within the achievement level.</p> <p>Text: "Staff transferred into the business under TUPE are offered tailored information and support to help them settle in." good practice added to Box 4.</p> <p><b>Sub-indicator previously known as 6.1.8.</b></p>	<p>Aligned with training requirements</p> <p>Raising standards</p> <p>Good Practice and reinforce requirement for effectiveness</p>
6.1.7	Roles and responsibilities are defined for all staff.	Medium/Low	<p>Achievement level dropped from Box 3 to Box 2.</p> <p>Text: "Roles and responsibilities are reviewed regularly to ensure and maintain relevance to the business. There are procedures in place to monitor ongoing awareness of roles and responsibilities. "moved from Box 4 to Box 2.</p> <p>Text:" Roles and responsibilities have been defined for all staff (licensed and unlicensed).These have been communicated to and are understood by all staff." moved from 3 to Box 1. Box 3 and 4 now blank.</p> <p>Replaced "Employees" to 'Staff' to capture everyone within the organisation.</p> <p><b>Sub-indicator previously known as 6.1.9.</b></p>	<p>Bar reduced</p> <p>Clarification of the standard</p> <p>Raising standards</p> <p>Aligned with training requirements</p>



Indicator		Impact	Detail	Reason
6.1.8	A defined policy relating to equality and diversity exists which is implemented and communicated.	Medium/Low	<p>Text: "The policy is implemented." added to Box 2 within the achievement level.</p> <p>Text: "The organisation monitors equality and diversity fairly to help ensure that its recruitment policies are non-discriminatory. The organisation can demonstrate its commitment to improving diversity and equality within its business." good practice added to Box 4.</p> <p>Text: "The organisation undertakes equal pay audits and adjusts pay accordingly. The organisation can demonstrate its commitment to improving diversity and equality within the security industry," good practice added to Box 5.</p> <p><b>Sub-indicator previously known as 6.1.10.</b></p>	<p>Raising standards</p> <p>Aligned with training requirements</p> <p>Good Practice and reinforce requirement for effectiveness</p>



Indicator		Impact	Detail	Reason
6.1.9	A process for obtaining staff opinions on the organisation, their job and conditions exists and is implemented.	Medium/Low	<p>Text: “Individuals have the opportunity to express their opinion. “moved from Box 2 to Box 1. Existing text in Box 1 deleted.</p> <p>Text: “The organisation monitors its progress in improving the perception of its staff. Opinions gathered are recorded. “added to Box 2 the required achievement level.</p> <p>Text: “All staff are asked their opinions about the organisation, their job or working conditions on a regular basis. Key performance measures exist. Improvement plans are in place and some are implemented. ” good practice from Box 4 moved to Box 3.</p> <p>Text: “Key performance measures exist with targets. Plans for improvement are developed and implemented based on results achieved. Delivery of improvements is reflected in improved staff retention. ” good practice from Box 5 moved to Box 4.</p> <p>Box 5 now blank.</p> <p><b>Sub-indicator previously known as 6.1.3.</b></p>	<p>Raising standards</p> <p>Aligned with training requirements</p> <p>Good Practice and reinforce requirement for effectiveness</p>



<p>6.2.1</p>	<p>Defined employee training, development and improvement policy and procedures are in place, implemented and communicated.</p>	<p>Medium/Low</p>	<p>Text: “Staff training, development and improvement policy and procedures are in place, implemented and communicated.” Sub-indicator contents reworded in 6.2.1.</p> <p>Text:”Private Security Industry Act licensing training is the only training that takes place. There is no continuing professional development” added to Box 1.</p> <p>Text: “There is a training development and improvements policy with supporting procedures in place that covers the company and assignment specific training as well as training required for an SIA licence. They are implemented for staff requiring an SIA licence. These staff are aware of the policies and procedures. They apply to all staff and are fully implemented. All staff are aware of the policies and procedures. There are procedures in place to monitor extent of implementation and staff awareness. Ensures that all staff undertake any training specified by the SIA within a reasonable time period as stipulated by the SIA.” reworded in Box 2 within the achievement level.</p> <p>Reference to Licence Manage Functionality Requirements:-          Test: “Where applicable ensures that all Key Staff undertake any training specified by the SIA within a reasonable time period as stipulated by the SIA.” added in Box 2 within the achievement level.</p> <p>Text: “The training and development policy and procedures are regularly reviewed for relevance and completeness. Managers and supervisors are supportive of releasing frontline licensable staff for required training. All internal and external trainers are suitably qualified. ” good practice from Box 4 moved to Box 3.</p>	<p>Clarification of the standard</p> <p>Raising standards</p> <p>Licence Management Functionality Requirements</p>
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			<p>Text: “The organisation sets aside a specific budget for the training and development of frontline licensable staff. Customers and/or other stakeholders are consulted on the content of training. ” good practice from Box 5 moved to Box 4.</p> <p>Box 5 now blank.</p> <p><b>Sub-indicator previously known as 6.1.2.</b></p>	
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Indicator		Impact	Detail	Reason
6.2.2	An induction pack/ training including an introduction to policies and procedures exists.	Low	No change to contents, re-numbered to align with training requirements. <b>Sub-indicator previously known as 6.1.1.1.</b>	Aligned with training requirements
6.2.3	All staff are trained to the required standard	Low	Test: “Organisational training needs are effectively assessed.” added in Box 3.  <b>Sub-indicator previously known as 6.2.2.</b>	Clarification of the standard  Aligned with training requirements
6.2.4	The organisation ensures that minimum competence of employees is maintained.	Medium	Achievement level from Box 1 to Box 2. Text: “The organisation checks that individuals hold the necessary licence-linked qualifications.” added in Box 1.  Text: “Upon recruitment of frontline licensable staff, the organisation conducts a skills assessment to identify their immediate training needs. Where new frontline licensable staff are taken on with a pre-existing licence-linked qualification, the organisation tests the individual’s competence in the licence-linked training. All testing is documented.” Contents moved from Box 1 to Box 2 within the achievement level.  Text: “The organisation tests frontline licensable staff knowledge of the relevant licence-linked training at least annually.” Good practice added to Box 3.	Bar Raised  Raising standards  Good Practice and reinforce requirement for effectiveness





Indicator		Impact	Detail	Reason
6.2.5	Assignment specific training/induction/information is given.	Low	<p>Test: “Staff are tested on their knowledge of their assignment instructions. Assignment site training /induction/information validated by independent means e.g. site audits.” Good practice added in Box 4.</p> <p>Test: “Staff have the opportunity to give feedback on the quality and relevance of their assignment instructions.” Good practice added in Box 5.</p>	Raising standards
6.2.6	All staff have training plans and records’.	Low	<p>Text: “staff have...training records...”added to Box 2 within the required achievement level</p> <p><b>Sub-indicator previously known as 6.2.1.</b></p>	Clarification of the standard
6.2.7	All supervisors are trained to the required standard for their role.	Low	<p><b>New Indicator number.</b> Test: “The organisation has a leadership development programme or equivalent, to bring talent through the ranks.” Good practice added in Box 5.</p> <p><b>Sub-indicator previously known as 6.2.3.</b></p>	Raising standards



Indicator		Impact	Detail	Reason
6.2.8	Customer feedback is obtained for individuals working with clients.	Medium	<p><b>New Indicator number.</b> Achievement level from Box 3 to Box 2.</p> <p>Text: “Customer comments on performance are fed back to the relevant staff.’ Moved from Box 2 to Box 1.</p> <p>Text: “Where necessary remedial action/additional training is implemented. Customer feedback is accepted when offered.” added in Box 2 within the achievement level.</p> <p>Text: “Customer feedback is actively solicited on all individuals who have contact with customers and is presented to the individual in a timely manner. It is also included in the annual appraisal process. ” good practice from Box 4 moved to Box 3.</p> <p>Text: “Customer feedback is used to influence pay reviews/ bonuses and/or used to formulate training and succession plans.” good practice from Box 5 moved to Box 4.</p> <p>Box 5 now blank.</p> <p><b>Sub-indicator previously known as 6.2.6.</b></p>	<p>Bar Raised</p> <p>Good Practice and reinforce requirement for effectiveness</p> <p>Raising standards</p>



Indicator		Impact	Detail	Reason
6.3.1	A holiday entitlement policy exists which is implemented and communicated.	Medium/Low	<p>Text: “Staff who work on public holidays that would normally form part of their annual leave entitlement are entitled to extra paid leave or enhanced pay.” Good practice reworded in Box 3.</p> <p>Text: “Holiday entitlement exceeds the statutory minimum by at least 5 days. .” added to Box 4.</p> <p>Text: “The organisation has a special leave policy. The organisation encourages fathers to take their full paternity leave. The organisation considers requests for flexible working fairly. ” good practice reworded in Box 5.</p> <p>Replaced “Employees” to ‘Staff’ to capture everyone within the organisation.</p>	<p>Raising standards</p> <p>Good Practice and reinforce requirement for effectiveness</p>
6.3.2	A pensions policy exists which is implemented and communicated.	Low	<p>Text:” The organisation encourages its staff to plan for their retirement. .” added to Box 2 within the achievement level.</p> <p>Replaced “Employees” to ‘Staff’ to capture everyone within the organisation.</p>	Raising Standards
6.3.3	A health and safety policy and supporting procedures exist and are implemented.	Low	<p>Text: “It is available at all locations where the organisations staff are working.” Added to Box 1.</p> <p>Replaced “Employees” to ‘Staff’ to capture everyone within the organisation.</p>	<p>Clarification of the standard</p> <p>Raising Standards</p>

Indicator		Impact	Detail	Reason
6.3.4	An approach to provision of welfare and benefits is in place.	Low	<p>Reference to Licence Management Functionality Requirements:- Text: “Where applicable the organisation does not: Mandate that any individual must consent to the Approved Contractor acting on their behalf using Licence Management Functionality.” Added to Box 1</p> <p>Text: “Where applicable the organisation does not: Charge any individual an administration fee for submitting their application on their behalf using the Licence Management Functionality, unless otherwise agreed with the SIA by way of an exceptional circumstance request.” Added to Box 2 within the achievement level</p> <p>Text: “... requirements and include.” Added to Box 3.</p> <p>Text: “Where applicable processing SIA Licence applications via the Licence Management functionality. This includes the organisation electronically capturing and submitting a suitable passport-style photograph in accordance with the SIA’s website.” Added to Box 3</p> <p>Replaced “Employees” to ‘Staff’ to capture everyone within the organisation.</p>	<p>Clarification of the standard</p> <p>Licence Management Functionality Requirements</p>
6.4.2	Self-learning and improvement is encouraged.	Medium	<p>Achievement level from Box 3 to Box 4. No change to contents just raised the requirements. Replaced “Employees” to ‘Staff’ to capture everyone within the organisation.</p>	Raised Bar



Indicator		Impact	Detail	Reason
6.5.1	The organisation adheres to the Working Time Directive.	Low	Text: "The organisation has no contracts requiring shift patterns of more than 48 hours a week." reworded in Box 4.  Replaced "Employees" to 'Staff' to capture everyone within the organisation.	Simplification of the standard
6.6.1	The legislation on the national minimum wage is implemented.	Medium/Low	Text: "Legislation on the national living wage and payments to staff is implemented." Sub-indicator contents reworded in 6.5.2. Text: "The national living wage." Added to Box 2 achievement level.  Text: "Financial records demonstrate transparency on how overheads are built into the charge rate and how wage rates and payment are structured." moved from Box 5 to Box 4.  Text: "The organisation pays all staff at least the living wage." "good practice added to Box 5.  Replaced "Employees" to 'Staff' to capture everyone within the organisation.	Raising standards  Government Policy  Good Practice and reinforce requirement for effectiveness
7.1.1	Leaders can demonstrate, relevant to sector, knowledge of the legislative framework, working practices and industry standards/codes of practice	Low	Text: "...have a recognised qualification in a relevant discipline." "text from Box 5 moved to Box 4.  Text: "...are involved in the review and update of working practices and industry standards/code of practice for their sector." "text from Box 4 moved to Box 5.	Raising standards  Good Practice and reinforce requirement for effectiveness  More meaningful requirement



Indicator		Impact	Detail	Reason
7.1.2	Leaders are involved in the development and implementation of relevant policies and procedures.	Medium/Low	<p>Achievement level dropped from Box 3 to Box 2.</p> <p>Text: “Leaders review policies and procedures in an ad-hoc manner usually when problems have occurred. Leaders are involved and ensure policies and procedures are implemented in the relevant parts of the organisation.” contents merged from Box 1 and Box 2 into Box 1</p> <p>Text: “Leaders continue to be involved in the regular review of policies and procedures to ensure they remain relevant to the business and effectively implemented. “moved from Box 4 to Box 2 the required achievement level.</p> <p>Box 3 and Box 4 now blank.</p>	<p>Bar reduced</p> <p>Raising standards</p> <p>Simplification of the standard</p>



Indicator		Impact	Detail	Reason
7.1.3	Managers and directors responsible for processes and key personnel can demonstrate an understanding of procedures.	Medium/Low	<p>Achievement level dropped from Box 3 to Box 2. Text: “The managers and directors responsible for processes and key personnel understand some of the procedures within their sphere of responsibility. “moved from Box 2 to Box 1.</p> <p>Text: “All managers and directors responsible for processes and key personnel understand all of the procedures within their sphere of responsibility. They actively ensure they are fully implemented “moved from Box 3 to Box 2 the required achievement level.</p> <p>Text: All managers and directors responsible for processes and key personnel understand the links between the procedures and how they work together to deliver the plans for the business. They actively ensure they are fully implemented in a manner reflecting the organisations values. “good practice moved from box 4 to box 3.</p> <p>Box 4 now blank.</p>	<p>Bar reduced</p> <p>Raising standards</p> <p>Simplification of the standard</p>



Indicator		Impact	Detail	Reason
7.1.4	Leaders review key results and ensure that improvements are planned and implemented.	Medium/Low	<p>Achievement level dropped from Box 3 to Box 2. Text: "Leaders review results and raise any action plans within their own area of responsibility. "reword and moved into Box 2 the required achievement level.</p> <p>Text: All leaders are regularly involved in the review of key performance results. These reviews lead to the identification and prioritisation of improvement plans. All leaders are actively involved in ensuring that improvement plans are implemented. "good practice moved from box 4 to box 3. Box 4 now blank.</p>	<p>Bar reduced</p> <p>Raising standards</p> <p>Simplification of the standard</p>





Indicator		Impact	Detail	Reason
7.2.1	Leaders consult stakeholders on their leadership skills and have personal development plans based on the feedback.	Medium/Low	<p>Text: “Feedback from customers and staff on leadership skills is acted upon when it is received. “contents moved from Box 2 to Box 1.</p> <p>Text: “Leaders regularly seek feedback from customers and staff on their strengths and development opportunities in the area of leadership. The areas for improvement are noted and actions are taken to change behaviour. “contents moved from Box 3 to Box 2 now the required achievement level.</p> <p>Text: “Improvement plans exist to address development opportunities. Improvement plans detail specific actions to be taken within agreed timescales. “good practice moved from Box 4 to Box 3.</p> <p>Text: “All leaders also regularly seek feedback on their leadership strengths and development opportunities from other stakeholders such as consumers, police and other authorities. The feedback is reviewed and improvement plans are created to address the development opportunities. Improvement plans are monitored for progress. “good practice moved from Box 5 to box 4.</p> <p>Box 5 now blank.</p>	<p>Raising standards</p> <p>Simplification of the standard</p> <p>Good Practice and reinforce requirement for effectiveness</p>



Indicator		Impact	Detail	Reason
7.3.1	Leaders have developed a set of high values or codes of ethics that are implemented throughout the organisation.	Low	Reference to Licence Management Functionality Requirements:- Text: "In addition Leaders have developed a set of values or a code of ethics that include: Where applicable this must include Anti-fraud and bribery polices. "added contents in Box 3 the required achievement level.	Raising standards  Licence Management Functionality Requirements



Indicator		Impact	Detail	Reason
7.4.1	Leaders are involved in improvement activity.	Medium/Low	<p>Text: “Leaders cannot demonstrate that they are involved in improvement activity or include any staff participation. “revised contents in Box 1.</p> <p>Text: “Leaders can demonstrate some improvement activity including some input from staff though in an ad-hoc or reactive manner. “revised contents in Box 2.</p> <p>Text: “Leaders are routinely involved in improvement activity, encouraging appropriate staff participation, through suggestions, ideas and active involvement in the service delivery improvement process. There are examples of such improvements that have included, where relevant, both leaders and staff. “revised contents in Box 3 the required achievement level.</p> <p>Text: “Leaders’ involvement delivers added value to the improvement achieved and is enhanced by active and appropriate staff participation in the process. “revised contents in Box 4.</p> <p>Text: “Leaders can evidence that lessons learnt during any improvement activity and achieved through staff participation are communicated across the organisation as appropriate. “good practice added to Box 5.</p>	<p>Raising standards</p> <p>Simplification of the standard</p> <p>Good Practice and reinforce requirement for effectiveness</p>



Indicator		Impact	Detail	Reason
7.4.2	Leaders recognise individual and team efforts.	Medium/Low	<p>Achievement level dropped from Box 3 to Box 2. Text: “Leaders do not recognise individual and team efforts. “added to Box 1.</p> <p>Text: “There are processes in place to recognise individual and team efforts. There are examples of recognition of individual and team efforts. “good practice from Box 3 moved to Box 2 now the required achievement level.</p> <p>Text: “Leaders actively ensure that the processes are fully implemented. “good practice moved from box 4 to box 3</p> <p>Text: “Leaders publicise staff recognition within the organisation and external stakeholders. “good practice moved from box 5 to box 4 Box 5 now blank</p>	<p>Bar reduced</p> <p>Raising standards</p> <p>Simplification of the standard</p>



Indicator		Impact	Detail	Reason
7.4.3	Leaders recognise individual and team efforts.	Medium/Low	<p>Achievement level dropped from Box 3 to Box 2. Text: “Leaders do not recognise individual and team efforts. “added to Box 1.</p> <p>Text: “There are processes in place to recognise individual and team efforts. There are examples of recognition of individual and team efforts. “good practice from Box 3 moved to Box 2 now the required achievement level.</p> <p>Text: “Leaders actively ensure that the processes are fully implemented. “good practice moved from box 4 to box 3</p> <p>Text: “Leaders publicise staff recognition within the organisation and external stakeholders. “good practice moved from box 5 to box 4 Box 5 now blank</p>	<p>Bar reduced</p> <p>Raising standards</p> <p>Simplification of the standard</p>



Indicator		Impact	Detail	Reason
8.1.3	Activities to promote and improve the awareness of anti-terrorist activities	High/Medium	<p><b>New indicator</b></p> <p>Text: “The organisation has not considered the ways in which it may promote and improve the awareness of anti-terrorist activities. “added to Box 1.</p> <p>Text: “The organisation is aware of how it may promote and improve the awareness of anti-terrorist activities and has taken some initiatives in this area. “added to Box 2 within the achievement level.</p> <p>Text: “Actions to promote and improve the awareness of anti-terrorist activities are planned and linked to local activities and to customer initiatives where appropriate. “good practice added to Box 3.</p> <p>Text: “The organisation actively works with relevant organisations to promote and improve the awareness of anti-terrorist activities. “good practice added to Box 4.</p> <p>Text: “The organisation has been recognised by relevant organisations as a leader in promoting and improving the awareness of anti-terrorist activities. “good practice added to Box 5.</p>	<p>Raising standards</p> <p>Good Practice and reinforce requirement for effectiveness</p> <p>Government Policy</p> <p>Encourage further compliance</p>



Indicator		Impact	Detail	Reason
9.1.1	The regular review of performance against service level agreements and/or key customer performance indicators.	Low	<p>Text: “There are examples of improvements in performance.” added to Box 1.</p> <p>Text: “Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.” added to Box 2 within the achievement level.</p> <p>Text: “Action plans are in place where performance falls below target.” added to Box 4.</p> <p>Reference to Licence Management Functionality Requirements:- Text: “Where applicable these include annual performance targets of: 99% of licence applications must be correctly completed when submitted to the SIA; and 99% of licence applications must pass internal SIA quality checking of ID and photograph checks.” added to Box 3 within the achievement level.</p>	<p>Clarification of the standard</p> <p>Raising standards</p> <p>Reinforce requirement for effectiveness</p> <p>Licence Management Functionality Requirements</p>
9.2.1	The regular review of performance against responses from customer opinion gathering.	Low	<p>Text: “Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.” added to Box 2 within the achievement level.</p> <p>Text: “Action plans are in place where performance falls below target.” added to Box 4.</p>	<p>Clarification of the standard</p> <p>Reinforce requirement for effectiveness</p>

Indicator		Impact	Detail	Reason
9.3.1	The regular review of performance against key employee performance indicators.	Low	Text: "Some results show positive trends and/or sustained good performance for the period of time the measure has been in place." added to Box 2 within the achievement level.  Text: "Action plans are in place where performance falls below target." added to Box 4.	Clarification of the standard  Reinforce requirement for effectiveness
9.4.1	The review of performance against responses from employee opinion gathering.	Low	Text: "Some results show positive trends and/or sustained good performance for the period of time the measure has been in place." added to Box 2 within the achievement level.  Text: "Action plans are in place where performance falls below target." added to Box 4.	Clarification of the standard  Reinforce requirement for effectiveness
9.5.1	The review of performance against internal and external environmental/societal/ health and safety performance indicators	Low	Text: "Action plans are in place where performance falls below target." Added to Box 4.	Reinforce requirement for effectiveness
9.5.2	Key measures are used to indicate reputation within the local community.	Low	Text: "The organisation maintains a good reputation within the local community." Moved from Box 3 to Box 2 within the achievement level.  Text: "There are examples of positive feedback from the local community." Moved from Box 2 to Box 3 to make it more consistent.	Raising standard  Reinforce requirement for effectiveness





Indicator		Impact	Detail	Reason
9.6.1	The regular review of performance against success factors and key financial indicators critical to the business.	Low	<p>Text: “Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.” added to Box 2 within the achievement level.</p> <p>Text: “Action plans are in place where performance falls below target.” added to Box 4.</p>	<p>Clarification of the standard</p> <p>Reinforce requirement for effectiveness</p>

Security Industry Authority, Approved Contractor Scheme, PO Box 49768, London, WC1V 6WY

E-mail: [ACSenquiries@sia.gsi.gov.uk](mailto:ACSenquiries@sia.gsi.gov.uk)

[www.sia.homeoffice.gov.uk](http://www.sia.homeoffice.gov.uk)