



Security Industry Authority

The SIA Approved Contractor Scheme

Self-Assessment Workbook

April 2019



Resol **APPROVED
CONTRACTOR**

Leadership

People

Strategy

Ser



elivery

Commercial relationship management

Financial

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I. 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.

SIA approved contractors and organisations seeking approval must conform with 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.sia.homeoffice.gov.uk, 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 standard is set to validate existing good practice; encourage the development of new practices and discourage poor practice found in some organisations within the industry.

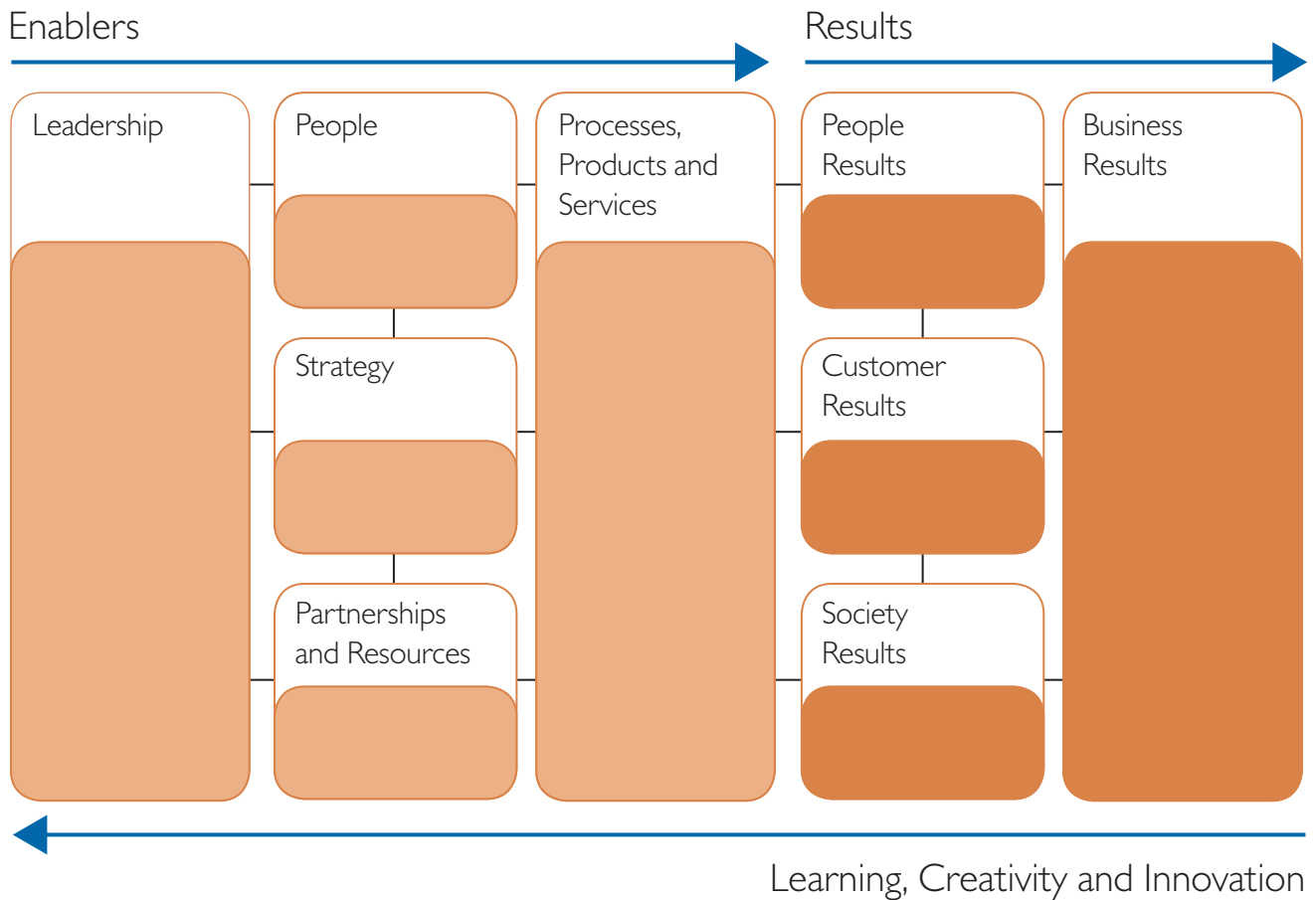
The ACS standard is comprehensive and organisations do not require separate certification to other standards, e.g. ISO9001 or specific British Standards, in order to be an SIA approved contractor. However, in meeting ACS requirements, approved contractors are expected to work to the British Standard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

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 Standards whilst challenging the industry to review its approaches in other areas covered by the EFQM Excellence Model, below.



2.1 The ACS standard consists of seven criteria



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.

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

The 'ACS standard definition' and associated documents are available via our website www.sia.homeoffice.gov.uk.

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

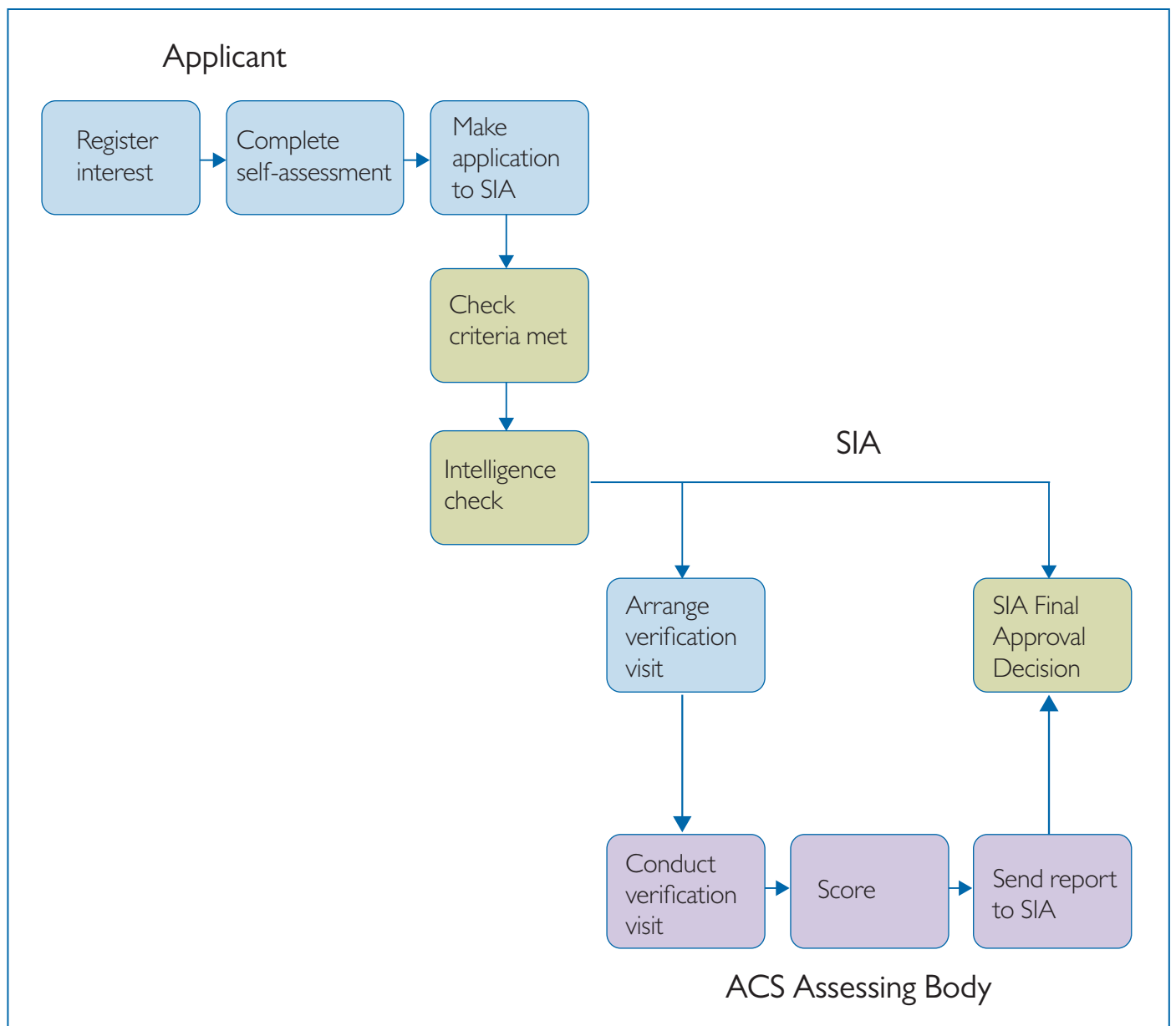
2.2 Who should consider applying?

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

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.

This self-assessment workbook therefore identifies 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', including on- line training material, is available on our website: www.sia.homeoffice.gov.uk.

Licence management services also includes additional standards that apply when SIA approved contractors are approved to use or considering using the 'Licence Management service'. These standards do not apply to SIA approved contractors not using the 'licence management service'.

Table 1: Security Industry Codes of Practice/Working Standards

BS7858	Security Screening of Individuals Employed in a Security 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	Static Site Guarding and Mobile Patrol 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 alarm response services	KeyHolding
BS7984-2	Keyholding and response services – Lone worker response services	Keyholding
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/ Key Holding
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 for Parking Enforcement*	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 Parking Enforcement 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 6 months of their publication.

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 Workbook indicators. The remaining ACS indicators are not directly covered by ISO 9001.

Some indicators in the workbook have corresponding legal requirements. For organisations wishing to confirm they meet these requirements, information can be found from the website of the Department for Business, Energy & Industrial Strategy, or at www.gov.uk.

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 workbook and be involved in the self-assessment process?

The self-assessment workbook 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 to ensure it is a true reflection of the organisation.

Multi-sited organisations may choose to use a copy of the workbook 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 single self-assessment workbook required for ACS application.

6. How to use the workbook

The ACS self-assessment workbook and the supporting ACS 'online achievement record' have been designed to enable organisations to:

- work through the criteria in any order
- 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 and before moving on to the following (higher) improvement level(s) (e.g. improvement level 1, improvement level 2). Work down the column until you reach your achievement level, i.e. 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, complete a summary of key points or simply note the relevant approaches, e.g. '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 appropriate to your organisation, then mark that it is not applicable. However, in such a case, you must explain why it is not appropriate. Care needs to be taken not to assume that because something is currently 'not done that way' within a sector that it is 'not applicable'. Generally, the number of indicators that are 'not applicable' will be very low.

To familiarise yourself with the self-assessment workbook and the process should take you about one hour. The time involved to actually complete the self-assessment workbook is dependent on the size of your organisation. As a guide the minimum time requirement for a small organisation, i.e. with an annual turnover up to £1 million should be approximately one day. For a large or multi-site organisation, i.e. with an annual turnover of over £4 million, it could take as much as five days.

If you are unsure or require clarification on any of the content of the workbook then please refer to the 'ACS workbook guide', available from our website www.sia.homeoffice.gov.uk. This guide is based on feedback during the development of the workbook and on early experience of its application. It will be updated periodically.

7. Recording achievement against the ACS Standard

In order to record your self-assessment, you will need to access the '[online achievement record](#)' on the ACS section of our website. You will need the email address (user name) that you used to register and the password sent to the email address.

On the main menu of the 'online achievement record' you will find guidance on how to use the 'online achievement record', including some good practice tips on completing the self-assessment. Take some time to read these.

Record your self-assessment in the 'online achievement record'. Please refer to the guidance document on our website, entitled 'Tips for completing your ACS self-assessment' for further information about how to complete your self-assessment online. This can be found at <https://www.sia.homeoffice.gov.uk/Pages/acs-assistance.aspx>

As you complete your 'online achievement record', your scores for each indicator are automatically summarised in a separate graph and table providing immediate visual confirmation of your position against the ACS standard. The 'on-line achievement record' will indicate whether you have achieved, not achieved, or exceeded the required achievement level.

In order to become an SIA approved contractor you must meet the 'Required Achievement Level' for all 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 5.1.2 **Where applicable**: An information security policy exists. . . .

You can save and exit the 'online achievement record', and then return to it at another time to edit or update your self-assessment. When you are satisfied that you have completed the online self-assessment, and are ready to submit this to us, press the SUBMIT button. Once you have submitted your self-assessment to us, your assessment cannot be edited.

Your assessment will be made available to the assessor who carries out your verification visit and they will use your self-assessment to help plan their visit.

Criterion I: Strategy



An SIA Approved Contractor has clear strategic direction enabling it to deliver value to all stakeholders.

This criterion is composed of five sub-criteria

The SIA Approved Contractor can demonstrate that it...

- I.1 has a coherent plan and approach to business
- I.2 has clear mechanisms for improving the standard of service delivery
- I.3 handles internal and external communications effectively
- I.4 actively manages the impact of its services on society and the environment
- I.5 measures and improves on performance against key indicators

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.

IMPROVEMENT LEVEL 1

The approach to business clearly addresses the needs of other key stakeholders.

Staff understanding of the approach to business is monitored through checks during service delivery.

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

1.1.2

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

REQUIRED ACHIEVEMENT LEVEL

1. Suppliers, sub-contractors, existing and potential customers are always made aware of the role, purpose or mission and values of the organisation during the negotiation and acquisition of new business.
2. Customers are asked to comment on how well the organisation's approach to business is applied (e.g. as part of a customer satisfaction survey).

IMPROVEMENT LEVEL 1

Other stakeholders such as consumers, police and other authorities are made aware of the organisation's overall approach to business.

IMPROVEMENT LEVEL 2

There is ongoing communication of the approach to business to all stakeholders such as consumers, police, other authorities and the wider public.

Other stakeholders are asked to comment on how well the approach to business is applied by the organisation and by its staff.

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

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 (e.g. 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 (e.g. the needs of customers, recent changes to legislation that impact on the organisation's approach to business).

IMPROVEMENT LEVEL 1

The plan for the business incorporates analysis of performance against internal measures (e.g. key performance measures and critical success factors) and includes targets for the coming period.

The organisation schedules reviews of performance against the plan for the business.

IMPROVEMENT LEVEL 2

The plan for the business is based on:

- the needs and expectations of all stakeholders;
- information gained from learning activities, analysis of competitor information, benchmarking exercises, and social, environmental and legal issues.

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

I.2 The SIA Approved Contractor has clear mechanisms for improving the standard of service delivery

I.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'

REQUIRED ACHIEVEMENT LEVEL

1. Demonstrable critical success factors which reflect the organisation's goals and targets have been identified and recorded. These could cover, for example:
 - Customer satisfaction
 - Contract performance (e.g. response times, customer contact)
 - Staff retention
 - Staff training and development
 - Effective leadership
 - Effective financial and management systems
 - Access to adequate financial and human resources
 - Health and safety arrangements
2. Internal key performance measures include:
 - financial measures;
 - customer service levels;
 - staff measures (e.g. sickness, disciplinary).

Where applicable: Measures 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.
3. Review of performance against critical success factors happens on a regular basis.
4. All measures have targets and are reviewed by appropriate members of staff.
5. Measures are amended/updated based on organisation performance.

IMPROVEMENT LEVEL 1

Progress towards achievement of targets is monitored through an internal balanced scorecard or other valid mechanism.

The scorecard or other mechanism includes key measures, e.g.:

- Financial
- Customer
- Business processes
- Learning/growth
- Past performance

Please see the **Glossary** for a definition of the term 'critical success factors'.

I.2 The SIA Approved Contractor has clear mechanisms for improving the standard of service delivery

I.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 organisations overall objectives.

IMPROVEMENT LEVEL I

Goals, objectives and targets can be traced down through the organisation.

They are developed through discussions with the staff responsible for their achievement.

There is a clear link with the role, purpose or mission and plans to maintain and/ or develop the business.

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

REQUIRED ACHIEVEMENT LEVEL

1. The organisation is committed to delivering a quality service to its customers that is based on established high standards or a British Standard Code of Practice (where relevant).
 - The organisation has up to date copies of relevant industry standards it is working to.
 - Staff understand the standards or codes of practice that are relevant to them and understand that they must deliver to these standards.
 - Working standards are implemented throughout the organisation.
2. Where a British Standard Code of Practice exists for a particular industry sector (as determined by the SIA), organisations seeking approval for the sector should aim to conform with their guidelines.
3. Any deviation from the recommendations of a particular Code of Practice should be justified as not affecting service delivery, public safety and/or the integrity of the ACS.
4. **Where applicable:** The working standards include the SIA:
 - Code of Connection
 - Licence Management Manual
5. The organisation has a process for checking that it is working in compliance with the relevant standards (e.g. through a checklist or other form of internal audit and/or external audit).
6. **Where applicable:** This activity includes audits to demonstrate adherence to Licence Management eligibility criteria and conditions.

IMPROVEMENT LEVEL 1

The organisation holds full UKAS accredited certification for British Standards within sector scope of ACS assessment.

IMPROVEMENT LEVEL 2

The organisation can demonstrate that it participates constructively in the development of private security industry code(s) 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

REQUIRED ACHIEVEMENT LEVEL

1. The organisation has identified the communication needs of its customers and staff in terms of:
 - the type of information that needs to be communicated;
 - when information needs to be communicated;
 - how information is communicated.
2. Key service information relevant to all areas of the business is delivered in an effective and timely manner to staff and other stakeholders and is:
 - accurate and up to date;
 - subject to version control;
 - available when needed;
 - regularly reviewed to ensure it remains relevant, accurate and up to date.
3. The organisation complies with relevant legislation and regulations regarding the management and publishing of information.
4. No inaccurate, false or misleading claims are made about the organisation or its work.
5. Planned communication takes place between the organisation, its customers and staff.
6. Procedures to manage all adverse publicity include:
 - a designated spokesperson;
 - authorised levels of sign-off on comments.

IMPROVEMENT LEVEL 1

Any feedback received on the way the organisation communicates is reviewed and improvements made in future communication.

Procedures to manage adverse publicity about either the organisation or events within the sector include:

- Keeping of records of any responses made.
- Involving customers (where they are affected) in the planning of responses.

IMPROVEMENT LEVEL 2

The organisation has identified the communication needs of other stakeholders such as consumers, police, other authorities and the wider public.

This information is used to develop and implement plans to communicate with these stakeholders.

The organisation checks the awareness and understanding of stakeholders to ensure the effectiveness of its communication.

1.4.1

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

REQUIRED ACHIEVEMENT LEVEL

1. The organisation is aware of its responsibilities to society and takes a positive stance to ensure ownership.
2. The organisation is aware of its impact on the environment and is taking steps where appropriate, to reduce this impact.
3. Staff are aware of their responsibilities and act accordingly.
4. Steps have been taken to make customers aware of the organisation's positive stance on its responsibilities to society and the environment.
5. Performance against the policy is monitored.

IMPROVEMENT 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.

The corporate social responsibility policy covers a wide spectrum of activity.

The organisation works in compliance with ISO 14001.

IMPROVEMENT LEVEL 2

The organisation holds certification to UKAS ISO 14001 in Environmental Management accreditation.

I.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:

- I.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.

IMPROVEMENT LEVEL 1

The organisation:

- Actively works with relevant organisations to promote protection of the public within the local community e.g.: through awareness-raising or training on:
 - counter terrorism;
 - child exploitation;
 - human trafficking.
- Encourages recruitment by promoting a positive image of the private security industry through their actions.

IMPROVEMENT LEVEL 2

The organisation has been recognised by relevant organisations (e.g. the police, the local community or customers), as a leader in developing the reputation of the private security industry.

I.4.3

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

This indicator links to:

- I.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'

REQUIRED ACHIEVEMENT LEVEL
<p>1. Staff are aware of:</p> <ul style="list-style-type: none">• the current level of threat from terrorism faced by the UK;• what the current threat level means;• where to find information about changes to the threat level. <p>2. The organisation is aware of how it may promote and improve the awareness of counter-terrorist activities and has taken some initiatives in this area.</p>
IMPROVEMENT LEVEL 1
<p>Actions to promote and improve the awareness of counter-terrorist activities are planned and linked to local activities and to customer initiatives where appropriate.</p>
IMPROVEMENT LEVEL 2
<p>The organisation actively works with relevant organisations to promote and improve the awareness of counter-terrorist activities.</p>
IMPROVEMENT LEVEL 3
<p>The organisation has been recognised by relevant organisations (e.g. the police, the local community or customers), as a leader in promoting and improving the awareness of counter-terrorist activities.</p>

1.5 The SIA Approved Contractor measures and improves on performance against key indicators

1.5.1

The organisation regularly reviews performance against success factors and performance indicators

This indicator links to:

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

REQUIRED ACHIEVEMENT LEVEL

1. Performance against the organisation's goals, objectives and critical success factors (e.g. customer satisfaction, contract performance) and performance indicators (including health and safety) is regularly reviewed.
2. Measures cover all key aspects of business processes relating to meeting the needs of customers, consumers and the wider public.
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.

IMPROVEMENT LEVEL 1

Improved performance has taken place in the areas targeted for improvement

IMPROVEMENT LEVEL 2

All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.

Action plans are in place where performance falls below target.

IMPROVEMENT LEVEL 3

Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.

The organisation's performance compares favourably.

External comparisons are relevant for promoting learning and improvement.

Criterion 2: Service delivery



An SIA Approved Contractor has clear strategic direction enabling it to deliver value to all stakeholders.

This criterion is composed of six sub-criteria

The SIA Approved Contractor can demonstrate that it...

- 2.1 has in place effective service delivery processes
- 2.2 has a plan to ensure continuity of service delivery
- 2.3 identifies and responds appropriately to what customers require of a security service
- 2.4 monitors and manages service delivery to both customers and consumers in a consistent manner
- 2.5 monitors internal processes, taking appropriate action to make improvements, when necessary
- 2.6 measures and improves performance against key customer and consumer indicators

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

2.1.1

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

This indicator links with:

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

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; and
 - are reliably followed; and
 - 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.

IMPROVEMENT LEVEL 1

All process measures have performance targets.

The impact of performance in key service delivery processes is understood by all interacting with the organisation.

Improvement actions resulting from tests of the key service delivery processes are created with deadlines for their implementation.

Please see the **Glossary** for a definition of the terms, 'key', 'service delivery', '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, e.g.:
 - 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 people.

IMPROVEMENT LEVEL 1

The plans for business continuity are tested regularly for effectiveness.

Actions resulting from tests of the plans for business continuity are created with deadlines for their implementation.

IMPROVEMENT LEVEL 2

The organisation works in compliance with business continuity best practice system, such as BS EN ISO 22301.

The organisation can demonstrate that it effectively contributes to business continuity best practice and/or standards development.

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

2.3 An SIA Approved Contractor identifies and responds appropriately to what customers require of a security service

2.3.1

The organisation meets its customers' requirements

This indicator links to:

- 3.5.1 'The organisation regularly reviews performance against responses from customer opinion gathering'

REQUIRED ACHIEVEMENT LEVEL

1. The organisation identifies customers' new requirements through discussion.
2. The organisation contacts or meets with its customers to:
 - establish the purpose, aims and objectives for the service provided
 - clarify requirements following a complaint;
 - discuss ongoing security requirements to ensure currency;
 - discuss changes to existing requirements, to further mitigate threats and risks to their assets.
3. All staff at a customer site are fully aware of that customer's requirements and levels of awareness are monitored.

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

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; and
 - 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.

IMPROVEMENT LEVEL 1

Awareness of the impact of service delivery is monitored throughout the organisation

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

2.3.3

The management of contractual arrangements with the customer has been defined

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.

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

2.4.1

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

This indicator links to:

- 6.1.2 'Staff records are maintained'
- 3.1.1 'Effective purchasing procedures are implemented'
- 3.1.2 'The organisation work in partnership with its suppliers to improve performance'

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 'sub-contractor').
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. Subcontractors are not permitted to subcontract further without SIA approval and the approval of the customer to whom the organisation is supplying the service.
8. All subcontractors are paid on an invoice only basis and within contractually agreed timeframes.
9. Where appropriate, subcontractors are audited, including on-site visits.
10. Performance measures are used to monitor subcontractors.
11. Feedback is obtained from customers relating to subcontractors' performance and fed back to subcontractors to identify areas of improvement.

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

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

2.4.2

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

This indicator links to:

- 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'

REQUIRED ACHIEVEMENT LEVEL

1. All customer contracts and/or terms and conditions of supply have an agreed service level agreement with performance indicators that include the effectiveness of service in mitigating threats and risks to customer assets.
2. Performance targets are agreed and reviewed regularly with the customer.
3. Performance against the indicators is reviewed regularly.
4. Where targets are not met, action-plans are developed together with the customer, including timescales for improvement.

IMPROVEMENT LEVEL 1

Service level agreements with customers include some consumer indicators. These relate to users impacted by service delivery.

Performance against these indicators is regularly reviewed internally.

IMPROVEMENT LEVEL 2

There are additional consumer measures in place. These relate to the:

- general public;
- the police;
- other authorities.

These are regularly reviewed with the customer.

All consumer performance indicators have targets aimed at improving the results.

Where targets are not met, action plans are developed with agreed completion timescales.

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.

IMPROVEMENT LEVEL 1

Incident procedures are tested annually by management and lessons learned are documented and used to improve processes.

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.

IMPROVEMENT LEVEL 1

There are processes in place that enable service delivery issues and improvements to be raised and reviewed outside of the review process.

IMPROVEMENT LEVEL 2

All of the organisations procedures are subject to regular review.

There are processes in place for all procedural issues and improvements to be raised and reviewed outside of the review process.

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

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 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.

IMPROVEMENT LEVEL I

Targets are set and routinely monitored for attendance at customer sites.
Technology is used effectively to alert the security business to the whereabouts of staff (e.g. lone workers, field staff) and monitor their safety.

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.

IMPROVEMENT LEVEL 1

Prioritised improvement plans are produced as a result of the review of performance.

Regular reviews of all plans for improvement are conducted by the appropriate level of management to ensure delivery of improvement.

2.5.2

Procedures for the implementation of changes are in place and used

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.

IMPROVEMENT LEVEL 1

The procedures to implement change are clear and designed to maximise the effectiveness of the change.

These include:

- Reviewing the introduction of technology to improve procedures.
- Conducting pilots or other means of controlling the implementation of change.
- Communicating the change to all appropriate stakeholders.
- Reviewing how the change was managed to identify improvements to the procedures.

These procedures are used for all implemented changes.

2.6 An SIA Approved Contractor measures and improves performance against key customer and consumer indicators

2.6.1

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

This indicator links to:

- 2.3.3 'The management of contractual arrangements with the customer has been defined and implemented'
- 2.4.1 'Use of subcontractors is agreed with customers and subject to defined quality assurance procedures'
- 2.4.2 'Effective customer and consumer performance indicators and service level agreements have been established'
- 2.4.4 'All procedures are regularly reviewed'
- 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 for continued suitability and against key customer performance measures.
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.

IMPROVEMENT LEVEL 1

Performance against service level agreements and key customer performance indicators is regularly reviewed.

Measures cover all key aspects of the services provided to customers.

The results show positive trends and/or sustained good performance for the period of time the measure has been in place.

Improved performance has taken place in the areas targeted for improvement.

IMPROVEMENT LEVEL 2

Action plans are in place where performance falls below target.

All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.

IMPROVEMENT LEVEL 3

Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.

The organisation's performance compares favourably.

External comparisons are relevant for promoting learning and improvement.

Criterion 3: Commercial relationship management



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

This criterion is composed of five sub-criteria

The SIA Approved Contractor can demonstrate that it...

- 3.1 implements responsible trading practices in its procurement of goods and services
- 3.2 offers professional advice to its customers and potential customers on appropriate services
- 3.3 manages customer relationships in a professional manner
- 3.4 manages consumer relationships in a professional manner
- 3.5 measures and improves customer perceptions of its organisation, its people and its services

3.1 An SIA Approved Contractor implements responsible trading practices in its procurement of goods and services

3.1.1

Effective purchasing procedures are implemented

REQUIRED ACHIEVEMENT LEVEL

1. Purchasing is conducted in accordance with procedures that:
 - clearly defines specifications/requirements for all purchases that impact the quality of service delivery, and which are appropriate for the size/type of purchase being made;
 - specifies who can make or authorise these purchases;
 - is understood by all relevant staff.

Preferred suppliers

2. Purchases of items that impact service delivery are only made from preferred suppliers.
3. Preferred suppliers have been selected based on a demonstrated ability to meet all quality, cost and service requirements.
4. The list of preferred suppliers is actively maintained and updated on a regular basis, based upon a review of supplier performance, which includes staff feedback.

Consultants

5. 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, including:
 - positive feedback on the consultant's track record and references;
 - knowledge of the private security industry;
 - reviewing the consultant's continuous professional development and how s/he keeps up to date with the industry.

IMPROVEMENT LEVEL 1

Purchasing is conducted in accordance with a policy that identifies the organisation's clear intention to address environmental, social and ethical issues.

Preferred suppliers are selected on the basis that their approach to business and policies are consistent with the organisation's. For example:

- Child labour
- Forced labour
- Health & Safety
- Discrimination
- Freedom of association
- Fair pay for staff
- Anti-corruption
- Environmental impact
- Working hours

IMPROVEMENT LEVEL 2

Suppliers are audited against the organisation's ethical purchasing policy.

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

3.1 An SIA Approved Contractor implements responsible trading practices in its procurement of goods and services

3.1.2

The organisation works in partnership with its suppliers to improve performance

REQUIRED ACHIEVEMENT LEVEL

1. Performance requirements i.e. 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.

IMPROVEMENT LEVEL 1

Regular meetings are conducted with key suppliers to review performance against targets.

Where performance is below standard, actions for improvement including timescales are agreed.

IMPROVEMENT LEVEL 2

Actions arising from review meetings are documented with defined actions and timescales for resolution.

The organisation works with suppliers to improve performance.

All levels of the organisation are given the opportunity to work with suppliers and customers to improve processes.

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

3.2 An SIA Approved Contractor offers professional advice to its to customers and potential customers on appropriate services

3.2.1

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

This indicator links to:

- 3.5.1 'The organisation regularly reviews performance against responses from customer opinion gathering'

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.

IMPROVEMENT LEVEL 1

Discussions are held with existing customers when contracts are due for renewal to ensure the service offered is still the most appropriate.

All discussions focus on

- ensuring the advice is relevant to customer needs;
- developing the service offered to the customer.

Improvements to the process for offering advice are made, based on customer feedback, where appropriate

IMPROVEMENT LEVEL 2

Any changes to the recommendations made are explained and documented.

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.

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

3.2 An SIA Approved Contractor provides timely and relevant information to customers and potential customers

3.2.2

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

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 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.

IMPROVEMENT LEVEL 1

A feasibility study is conducted prior to the commencement of a contract which evaluates environmental/technical challenges and considerations.

IMPROVEMENT LEVEL 2

ACS benchmarking and other relevant data is used to support tender submissions and requests to supply services.

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.

IMPROVEMENT LEVEL 1

The company makes use of networking at industry events, local business forums and/or sector specific groups (e.g. to obtain new business).

IMPROVEMENT LEVEL 2

The Approved Contractor's online profile is monitored to ensure that it reflects the organisation's sales proposition in the tender process.

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 detail:
 - 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

IMPROVEMENT LEVEL 1

Every customer has a pre-designated 'owner' who is responsible and accountable for the successful management of that account.

Senior management regularly visit customer sites and there is a method of confirming the visits have taken place.

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.

IMPROVEMENT LEVEL 1

Consumer complaints are separated from customer complaints.

Efforts are made to ensure all complaints are resolved to the satisfaction of the customer and, where relevant, the consumer.

Information on complaints received and their resolution is made available on request to external stakeholders

IMPROVEMENT LEVEL 2

The company has used ISO 10002 during the development of its complaints handling procedures.

Information on complaints received and their resolution (e.g. including lessons learnt) is made publicly available (e.g. on the organisation's website, in brochures and newsletters etc.)

Complaints are recorded and analysed (including comparing good and poor performance) to look for patterns.

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.

IMPROVEMENT LEVEL 1

The organisation invites feedback directly from the consumer.

All staff are given ongoing instructions on the correct way to deal effectively with the consumer.

Staff compliance with instructions is monitored.

IMPROVEMENT LEVEL 2

Consumer opinion of the organisation is valued.

The organisation actively gathers information from a number of sources regarding the consumer's view of them.

The organisation actively communicates with the consumer to promote a positive image of itself and the sector/s in which it operates.

3.5 An SIA Approved Contractor measures and improves customer perceptions of its organisation, its people and its services

3.5.1

The organisation regularly reviews performance against responses from customer opinion gathering

This indicator links to:

- 1.2.1 'Key stakeholders are aware of the organisation's overall approach to business'
- 2.3.1 'The organisation meets its customers' requirements'
- 2.4.4 'All procedures are regularly reviewed'
- 3.2.1 'Professional advice is offered to customers on the best approach to meet their needs'
- 3.3.2 'A complaints procedure is in place and implemented'
- 3.4.1 'An approach to consumer contact is implemented'
- 7.5.1 'Leaders with overall responsibility for the success of the organisation review results/ performance against critical areas of the business and drive continuous improvement'

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.

IMPROVEMENT LEVEL 1

Performance against customer perception measures is regularly reviewed.

Measures cover all aspects of the services provided to customers.

Reasons for shortfalls in performance are understood.

Improved performance has taken place in the areas targeted for improvement.

IMPROVEMENT LEVEL 2

All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.

Action plans are in place where performance falls below target.

IMPROVEMENT LEVEL 3

Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.

The organisation's performance compares favourably.

The results of external comparisons are used for promoting learning and improvement.

Criterion 4: Financial Management



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

This criterion is composed of four sub-criteria

The SIA Approved Contractor can demonstrate that it...

- 4.1 has sufficient and suitable financial resources to manage its financial obligations
- 4.2 uses robust processes to manage finances and associated risks
- 4.3 understands the market place and has financial plans to meet or change its strategic direction
- 4.4 measures and improves performance against key financial indicators

4.1 An SIA Approved Contractor has sufficient and suitable financial resources to manage its financial obligations

4.1.1

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

This indicator links to:

- I.1.1 'The organisation has a clear approach to business that is acted on and communicated to all staff'
- I.1.3 'A plan for the business exists with an effective review schedule'

REQUIRED ACHIEVEMENT LEVEL

1. There is a clear link between the financial plans for the business and related activity such as marketing, service delivery and business improvement.
2. There are no outstanding County Court Judgements or Scottish Decrees against the organisation or its directors, or people with significant control.
3. Where required, the organisation submits annual accounts and a confirmation statement to Companies House within the specified time limits.
4. The organisation has financial forecasts/projections for all aspects of the business.
5. There is clear information about how the organisations finances are managed.
6. The organisation is aware of its credit rating and understands how this has been generated. This is commensurate with its plans for the business.
7. The organisation maintains a recording system identifying and verifying all income streams.

IMPROVEMENT LEVEL 1

The organisation makes its staff aware of relevant financial aspects, including the financial performance of the organisation.

IMPROVEMENT LEVEL 2

The organisation enters into an 'open book' approach with customers in relation to its finances.

The organisation makes its accounts publicly available (e.g. on its website).

The organisation has its accounts and financial statements audited by an independent certified public accountant (where appropriate to the size and structure of the organisation).

4.2 An SIA Approved Contractor uses robust processes to manage finances and associated risks

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'

REQUIRED ACHIEVEMENT LEVEL

The organisation complies with all the relevant tax and National insurance legislation concerning *people they deploy*.

This requires complying with all of the HMRC guidance, including operating Real Time Information correctly and on time.

All the organisation's people must be employees unless the organisation can evidence otherwise. For exceptions see Security Operatives not on the payroll points 10 and 11 below.

Payroll Checks

1. Payroll is managed to legislative standards.
2. Tax codes are checked and correctly applied in a timely manner and in compliance with HMRC guidance.
3. Staff are paid through a PAYE compliant system.
4. People who are subject to PAYE receive full employment rights of an employee.
5. Month-end and year-end procedures are run within deadlines.
6. There is a direct link between the hours worked and the wages paid.
 - This also applies where staff are paid by others e.g. a factoring company, an umbrella payroll company, an agency, or sub-contractor.
 - Organisations do not make unlawful deductions from staff pay.
7. Payments to staff are made on time within the contractual payment cycle.
 - 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.
8. All queries relating to payroll are handled effectively and lessons learned are fed back to improve procedures.
9. There is clear information for staff on their pay, deductions and the payroll system in use.

Security Operatives not on the payroll

10. Approved contractors show due diligence in determining or identifying the correct employment status based on actual practice, and that this is reflected in the completion of the CEST tool for each role.
11. Where individuals are determined to be self-employed (using the CEST tool), Approved contractors must demonstrate that the agency legislation doesn't apply. Otherwise, the operatives will be agency workers and all remuneration received for services provided will be subject to PAYE/National Insurance. Further information in respect of the agency legislation applying can be found [here](#), and when it doesn't apply [here](#).

4.2 An SIA Approved Contractor uses robust processes to manage finances and associated risks

4.2.1

Clear and effective management of the payroll can be evidenced
(continued)

IMPROVEMENT LEVEL 1

Staff are paid through an automated payroll system.

IMPROVEMENT LEVEL 2

Electronic-pay slips are offered to staff.

There is a structured salary scheme for all staff, which promotes fair and consistent pay to security operatives, and avoids differences in pay arising from specific customer contract negotiations.

The organisation makes efforts to ensure that differences in salary are determined by an objective assessment of roles, responsibilities and performance (i.e. linked to the internal structure of the organisation, and not dictated by customer contracts).

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 e.g.:
 - 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.

IMPROVEMENT LEVEL 1

Financial plans are reviewed regularly to ensure relevance and viability, and include areas for cost savings.

Performance indicators are in place and are regularly reviewed.

IMPROVEMENT LEVEL 2

The organisation makes regular use of available financial benchmarking and other relevant data to analyse its financial performance.

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

4.2 An SIA Approved Contractor uses robust processes to manage finances and associated risks

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 or partner 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.

IMPROVEMENT LEVEL 1

All authority levels are clear.

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 in the organisation's promotional literature/website.

IMPROVEMENT LEVEL 2

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.

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

4.2.4

There is sufficient insurance to cover contractual requirements

This indicator links to:

- 6.1.2 'Staff records are maintained'

REQUIRED ACHIEVEMENT LEVEL

1. The organisation has contractual insurance that:
 - covers the annual value of the contracts;
 - is appropriate in content and value.
2. The company ensures all hazardous activities undertaken are disclosed to, and agreed by, insurance underwriters.
3. The organisation also has the correct insurance cover, appropriate to its size and operations:
 - £5 million for public liability.
 - £5 million for employer liability.
4. The business's insurance costs are not passed onto staff.

Subcontractors

5. Where subcontractors do not have their own insurance, they are covered under the organisation's.

IMPROVEMENT LEVEL I

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, by identifying the limitations of the organisation's insurance cover and undertaking suitable actions to mitigate, reduce or transfer resultant risks.

4.3 An SIA Approved Contractor understand the market place and has financial plans to meet or change its strategic direction

4.3.1

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

This indicator links to:

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

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.

IMPROVEMENT LEVEL 1

The organisation:

- Actively gathers and uses information about its market.
- Understands and monitors its direct competitors.

IMPROVEMENT LEVEL 2

The organisation actively gathers and uses information about the market it may want to enter, in the future.

IMPROVEMENT LEVEL 3

The organisation makes use of SIA ACS benchmark scores and other available benchmarking information, to compare its performance and to inform marketing activity.

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

4.4 An SIA Approved Contractor measures and improves performance against key financial indicators

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.

IMPROVEMENT LEVEL 1

Improved performance has taken place in the areas targeted for improvement.

IMPROVEMENT LEVEL 2

All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.

Action plans are in place where performance falls below target.

IMPROVEMENT LEVEL 3

Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.

The organisation's performance compares favourably.

External comparisons are relevant for promoting learning and improvement.

Criterion 5: Resource Management



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

This criterion is composed of three sub-criteria

The SIA Approved Contractor can demonstrate that it...

- 5.1 uses effective management information systems for all aspects of its business
- 5.2 that it has sufficient and suitable premises, procedures and equipment to conduct business effectively
- 5.3 measures and improves performance in the management of resources

5.1 An SIA Approved Contractor uses efficient management information systems for all aspects of its business

5.1.1

Relevant versions of documents are available at the point of use

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.

IMPROVEMENT LEVEL 1

Document version control is applied effectively to all key documents.

IMPROVEMENT LEVEL 2

Staff have the opportunity to suggest improvements to document handling.

5.1.2

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

REQUIRED ACHIEVEMENT LEVEL

1. The organisation complies with the relevant laws on data protection and security in all aspects of the business.
 - Including notification to the Information Commissioner where required.
2. The organisation conducts a risk assessment against the relevant data protection legislation and high-risk areas have additional controls.
3. All records are handled and stored in a way that is consistent with legal requirements for handling personnel data.
4. Procedures are implemented for the maintenance of all service delivery data and information, personnel and financial records in compliance with current legal requirements.
5. All staff are made aware of their individual responsibilities for data protection and security compliance.
6. All staff receive training outlining their individual and organisational responsibilities for data protection compliance.
 - Refresher training is conducted where appropriate.
7. There are procedures in place to monitor staff awareness of their own and the organisation's responsibilities for data protection.
8. **Where applicable:** The scope of ICO registration must include the purpose of SIA licence processing.
9. **Where applicable:** The organisation:
 - complies with its obligations under data protection legislation in respect of all personal data it processes on behalf of the licence applicant;
 - ensures it obtains any necessary consents from the licence applicant, in relation to its use of the licence applicant data and acts within the bounds of that consent.
10. **Where applicable:** The organisation retains 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.
11. **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.

5.2 An SIA Approved Contractor has sufficient and suitable premises, procedures and equipment to conduct business effectively

5.1.2

The organisation complies with legislation on the handling of and protection of data (*continued*)

IMPROVEMENT LEVEL 1

Compliance with the data protection legislation is audited with ICO guidance or through a recognised compliance assessment.

5.2.1

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

REQUIRED ACHIEVEMENT LEVEL

1. The work environment is fit for the business purpose and is secure. This could include:
 - Remote or home working.
 - Leased or rented business premises.
 - Virtual office space.
2. The business is conducted through either an owned, leased or rented premises and/or through a contracted virtual office service, as consistent with the business plan.
3. The organisation's correspondence and any promotional material complies with company law and legal traceability.
4. Where appropriate, the physical working environment has been assessed for the business needs and is properly managed. Factors to consider include:
 - Adequate lighting and sanitary facilities.
 - Workstation assessments.
 - Adequate storage and waste disposal.
 - Heating and ventilation.
 - Restroom.
 - Fire and Emergency equipment.
 - General cleaning and housekeeping.
5. **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.

IMPROVEMENT LEVEL 1

Feedback is sought from staff regarding the suitability of the working environment and any improvements made by the organisation.

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

5.2 An SIA Approved Contractor has sufficient and suitable premises, procedures and equipment to conduct business effectively

5.2.2

Control rooms/response rooms are designed, fitted and equipped in a manner appropriate 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 (e.g. 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.

IMPROVEMENT LEVEL 1

Improvements to design, construction, layout and equipment are implemented e.g.

- Where new or amended contracts increase the risk to physical security, safety and integrity of staff and/or to customer records and property.
- Due to changes in staff and/or business growth/contraction.

IMPROVEMENT LEVEL 2

The control rooms/response rooms are designed in accordance with good ergonomic practice. For example, considerations could include:

- Architectural factors.
- Design and layout of individual work stations.
- Arrangement of monitors.
- Design of control panels.
- Seating.
- Environmental factors.

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

5.2 An SIA Approved Contractor has sufficient and suitable premises, procedures and equipment to conduct business effectively

5.2.3

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

REQUIRED ACHIEVEMENT LEVEL

1. All equipment is appropriate for the purpose to which it has been allocated.
2. An inventory of equipment critical to service delivery is recorded and regular checks are conducted to ensure the records are complete and up to date.
3. All equipment critical to service delivery is maintained according to an up to date schedule.
4. **Where applicable:** Equipment used for licence application processes meets requirements (where specified) and is fit for purpose.

IMPROVEMENT LEVEL I

There is a comprehensive equipment register which covers all the equipment owned by the organisation.

Regular checks are conducted to ensure the register is complete and up to date.

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 (e.g. the use of body-cams).

IMPROVEMENT LEVEL I

The organisation evaluates new and emerging technology to further enhance service delivery to customers and/or staff safety.

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'
- 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 (e.g. 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.

IMPROVEMENT LEVEL 1

Improved performance has taken place in the areas targeted for improvement.

IMPROVEMENT LEVEL 2

All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.

Action plans are in place where performance falls below target.

IMPROVEMENT LEVEL 3

Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.

The organisation's performance compares favourably.

External comparisons are relevant for promoting learning and improvement.

Criterion 6: People



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

This criterion is composed of five sub-criteria

The SIA Approved Contractor can demonstrate that it...

- 6.1 manages its people effectively
- 6.2 deploys competent people
- 6.3 appropriately supports its people
- 6.4 complies with its legal obligations when employing people
- 6.5 measures and improves staff performance and perceptions of the organisation

6.1 An SIA Approved Contractor manages its people effectively

6.1.1

There is an effective recruitment policy

REQUIRED ACHIEVEMENT LEVEL

1. The organisation works to BS 7858 or appropriate industry sector equivalent for screening individuals.

OR

2. The organisation can justify deviations, which are accepted by an insurer (e.g. where operatives may be working covertly or are unable to account for gaps in employment) and retains the appropriate evidence of the insurer's decision.

3. Where they are available, and subject to data protection legislation, the organisation makes use of screening records from another Approved Contractor when **re-screening**.

- The organisation assesses the risk of using screening records from another approved contractor, prior to using those records.

4. Standard processes and procedures are followed:

- The requirements for each role within the organisation are defined and include: experience, skills and qualifications.
- Interviews for all potential recruits are conducted.
- Interview notes are documented and retained for one year.
- Recruitment records are maintained for all staff.
- The organisation regularly checks the validity of SIA licences and right to work in the UK.

5. **Compliance:**

- Private Security Industry Act 2001 licensing requirements are adhered to.
- The recruitment policy meets employment law and defines how screening of staff is carried out.
- The organisation ensures that all work permit/visa conditions are complied with.

6. **Where applicable:** The organisation ensures all Key Staff processing licensing applications meet the Key Staff Criteria and are security screened to BS7858.

7. **Where applicable:** The confirmation of identity and address includes verification of original documents required when submitting an application for an SIA licence.

(The list of permitted documents is available here: <https://www.sia.homeoffice.gov.uk/Pages/licensing-document-groups.aspx>)

IMPROVEMENT LEVEL 1

Defined job requirements are used to place an appropriately worded advertisement that takes into account relevant legal requirements.

Constructive feedback is provided to interview candidates who fail to obtain a role.

6.1 An SIA Approved Contractor manages its people effectively

6.1.1

There is an effective recruitment policy
(continued)

IMPROVEMENT LEVEL 2

Additional background checks with written responses covering ten years employment history (where appropriate) are completed within 16 weeks of employment commencing.

Re-vetting is conducted, where appropriate, prior to:

- Promotion;
- transfer to high-risk site.

The organisation works with re-settlement and/or employment organisations to help the unemployed back into work.

IMPROVEMENT LEVEL 3

The organisation offers a guaranteed interview scheme to disabled candidates whose application meets the minimum criteria for the post.

The organisation holds Investors in People (or equivalent) accreditation.

6.1 An SIA Approved Contractor manages its people effectively

6.1.2

Staff records are maintained

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 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 (5 or 10 years, depending on the relevant vetting criteria of the organisation);
 - training records;
 - disciplinary and grievance information, where relevant.
2. Licenses 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 6-monthly with the DVLA and a data copy kept on file.

OR

4. A driving licence agency licence check system.
5. The requirements of BS7858 and data protection legislation on the maintenance and storage of recruitment records are adhered to.
6. The organisation follows HMRC guidance regarding due diligence record keeping for the use of labour providers and self-employed.

IMPROVEMENT LEVEL I

Staff records contain up to date records of discussions about individual performance.

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'

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 eight weeks of employment starting.
3. Changes to terms and conditions are discussed with staff prior to implementation.

IMPROVEMENT LEVEL 1

Terms and Conditions are revised when changes to employment conditions are made.

IMPROVEMENT LEVEL 2

Terms and Conditions of employment are issued to all staff within four weeks of employment starting.

IMPROVEMENT LEVEL 3

Terms and conditions of employment are issued to all staff before, or as, employment starts.

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

1. There are disciplinary and grievance procedures that:
 - comply with the minimum legal requirements;
 - are clearly written and easily understandable by all staff.
2. Staff are given copies of the procedures when they join the organisation.
3. The procedures are followed.

IMPROVEMENT LEVEL I

Disciplinary and grievance procedures go beyond the minimum legal requirement.

For example, using independent conciliation as an alternative way of resolving disputes.

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.

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.

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.

IMPROVEMENT LEVEL 1

The defined equality and diversity policy goes beyond the minimum statutory legal requirement.

The organisation actively manages its 'equality and diversity' policy and acts appropriately when staff are found to be working outside of it.

IMPROVEMENT LEVEL 2

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.

IMPROVEMENT LEVEL 3

The organisation can demonstrate its commitment to improving diversity and equality within its business.

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

1. Individuals have the opportunity to express their opinion on the way in which the organisation is run, their job and conditions.
2. Opinions gathered are recorded.
3. Issues raised are acted upon where appropriate and this action is communicated to staff.
4. The organisation monitors its progress in improving the satisfaction of its staff.

IMPROVEMENT LEVEL 1

All staff are asked their opinions about the organisation on a regular basis.

Key performance measures exist and are monitored.

Improvement plans are in place and some are implemented.

IMPROVEMENT LEVEL 2

Key performance measures exist with targets, and are monitored.

Plans for improvement are developed and implemented, based on results achieved.

6.2 The SIA Approved Contractor can demonstrate that its staff are competent

6.2.1

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

REQUIRED ACHIEVEMENT LEVEL

1. There is a training, development and improvement policy with supporting procedures in place that covers:
 - organisation-specific training;
 - assignment-specific training;
 - industry-specific training (e.g. cyber-security, counter-terrorism, child exploitation, trafficking);
 - training required for an SIA licence.
2. The training, development and improvement policy:
 - applies to all staff;
 - is fully implemented.
3. There are procedures in place to monitor the extent of policy implementation and staff awareness.
4. **Where applicable:** All Key Staff undertake any training specified by the SIA, within a reasonable time period as stipulated by the SIA.

IMPROVEMENT LEVEL 1

The training, development and improvement 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.

IMPROVEMENT LEVEL 2

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.

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.

IMPROVEMENT LEVEL 1

The induction pack also covers the organisation's guidelines on:

- key organisation contacts;
- the right to union representation.

IMPROVEMENT LEVEL 2

All staff are given face to face induction training.

The additional information/training covers:

- the history of the organisation;
- the approach to business of the organisation;
- feedback mechanisms for both staff and customers;
- an overview of the customer base.

Understanding of induction material is checked and confirmed with the individual.

IMPROVEMENT LEVEL 3

All levels of staff are made aware of the opportunity to pursue relevant recognised qualifications e.g. NVQ, Management, etc.

Senior management are personally involved in the induction process.

6.2 The SIA Approved Contractor can demonstrate that it deploys competent people

6.2.3

All staff are trained to the required standard

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.

IMPROVEMENT LEVEL I

Organisational training needs are effectively assessed as part of an annual appraisal.

Supervisors:

- receive specific training in additional topics that would improve and enhance their leadership skills;
- have their training needs monitored, reviewed and recorded;
- undertaken recognised training and qualifications.

The organisation tests **'frontline licensable staff'** knowledge of the relevant licence-linked training at least annually.

6.2 The SIA Approved Contractor can demonstrate that it deploys competent people

6.2.3

All staff are trained to the required standard
(continued)

IMPROVEMENT LEVEL 2

The organisation has a leadership development programme or equivalent, to bring talent through the ranks.

Provision is made for mentors to support **supervisors** in their leadership role.

All relevant managers have undertaken:

- licence-linked training (or equivalent) in at least one sector.

OR

- a recognised security management qualification.

IMPROVEMENT LEVEL 3

Frontline licensable staff are consulted on the availability and content of training programmes.

Feedback from staff is used to plan and implement improvements to training.

The organisation contributes to the development of the core competencies and standards for the licensable sectors within which it operates.

6.2.4

Assignment-specific training/induction/information is given

REQUIRED ACHIEVEMENT LEVEL

1. Assignment-specific training/induction/information is given verbally and is supported by documented assignment instructions.
2. Staff are supervised:
 - for the duration of their on-assignment induction at a new location;
 - over a number of shifts (where the assignment is undertaken as shift work).

IMPROVEMENT LEVEL 1

Staff are tested on their knowledge of their assignment instructions.

Assignment specific training/induction/information is validated by the organisation e.g. on monthly/quarterly welfare visits.

IMPROVEMENT LEVEL 2

Staff have the opportunity to give feedback on the quality and relevance of their assignment-specific training/induction information.

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.

IMPROVEMENT LEVEL 1

Where appropriate, staff have professional/vocational training plans that show:

- details of planned training;
- planned completion date;
- a named person who is responsible for ensuring the training takes place.

IMPROVEMENT LEVEL 2

Training plans and records are regularly reviewed with staff to ensure they are accurate and up to date.

6.3 An SIA Approved Contractor appropriately supports its people

6.3.1

A holiday entitlement policy is implemented and communicated

REQUIRED ACHIEVEMENT LEVEL

1. There is a holiday policy that entitles all staff to the statutory minimum.
2. Staff who join within the holiday year, or who work part-time, are entitled to the same holiday entitlement pro-rata.
3. Statutory definitions are used to calculate pro-rata payments.
4. Staff are encouraged to use their full entitlement.
5. The organisation considers requests for flexible working fairly.

IMPROVEMENT LEVEL 1

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.

IMPROVEMENT LEVEL 2

Leave entitlement is monitored and staff are told of their remaining entitlement.

A policy that enables staff to carry over their leave entitlement exists and is communicated to staff.

The organisation has a special leave policy.

IMPROVEMENT LEVEL 3

Holiday entitlement exceeds the statutory minimum by at least 5 days.

OR

The organisation has in place a holiday accrual policy for long service.

6.3 An SIA Approved Contractor appropriately supports its people

6.3.2

A pensions policy exists which is implemented and communicated

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 i.e. 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
 - keeping accurate records of what it has done.
6. Re-enrolment is reviewed every 3 years.
7. The organisation encourages its staff to:
 - seek advice relating to how membership of the pension scheme correlates with the level of state pension;
 - plan for their retirement;
 - protect themselves against pension scams
8. The organisation actively communicates with its staff about changes to the state pension, which may affect them.

6.3.2

A pensions policy exists which is implemented and communicated
(continued)

IMPROVEMENT LEVEL 1
All staff are enrolled into defined contribution pension schemes. The organisation facilitates the availability of expert advice/trusted websites relating to pension arrangements that include: <ul style="list-style-type: none">• guidance on retirement advice and options• how staff can protect themselves against pension scams.
IMPROVEMENT LEVEL 2
There is a workplace pension scheme in place to which the employer contributes, matching staff contributions. It is open to all staff.
IMPROVEMENT LEVEL 3
The employer contributions to a pension scheme are above the minimum staff contributions.

6.3 An SIA Approved Contractor appropriately supports its people

6.3.3

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

REQUIRED ACHIEVEMENT LEVEL

1. There is a health and safety policy which:
 - meets minimum legal requirements;
 - is available at all locations where the organisation's staff are working.
2. All staff are given health and safety training as part of their induction when joining the organisation and on a regular basis.
3. Procedures are in place:
 - to confirm the safety of staff whilst working at a customer site;
 - for dealing with workplace violence/violent incidents.
4. Lessons learned from the review of incidents lead to improvements in practice.

IMPROVEMENT LEVEL 1

There is a health and safety policy in place that:

- goes beyond minimum legal requirements;
- is fully implemented with supporting procedures.

Performance reporting goes beyond minimum legal requirements.

Performance against all health and safety measures is frequently monitored and reviewed.

IMPROVEMENT LEVEL 2

Additional health and safety awareness courses are regularly undertaken by all staff.

IMPROVEMENT LEVEL 3

The health and safety policy is recognised as best practice within the industry (by organisations such as the Health and Safety Executive, ROSPA, British Safety Council).

The organisation is a member of an appropriate recognised scheme, for example:

- Safe Contractor
- RoSPA
- British Safety Council

6.3 An SIA Approved Contractor appropriately supports its people

6.3.4

An approach to provision of welfare and benefits is in place

REQUIRED ACHIEVEMENT LEVEL

1. The welfare and benefits offered by the organisation meet the legal requirements.
2. Appropriate uniforms are supplied and the organisation ensures they are cleaned and renewed.
3. Necessary Personal Protective Equipment (PPE) is provided free of charge.
4. All staff:
 - are made aware of the welfare and other benefits package;
 - all staff have regular contact with a supervisor or manager who can address any welfare concerns.

Licence Management

5. **Where applicable:** The organisation does not:
 - mandate that any individual must consent to the Approved Contractor acting on their behalf using Licence Management service;
 - charge any individual an administration fee for submitting their application on their behalf using the Licence Management service, unless otherwise agreed with the SIA by way of an exceptional circumstance request.
6. **Where applicable:** Processing SIA Licence applications via the Licence Management service. This includes the organisation electronically capturing and submitting a suitable passport- style photograph in accordance with the SIA's website.

IMPROVEMENT LEVEL 1

The welfare and benefits offered by the organisation exceed the legal requirements and include at least two of the following:

- Critical illness cover.
- Compassionate leave arrangements.
- Payment of training required to obtain an SIA licence.
- Days spent on the training required for an SIA licence are paid.
- Payment of the SIA licence application fee.

IMPROVEMENT LEVEL 2

The welfare and benefits package also includes all of the following:

- Personal accident cover.
- Sufficient legal cover.
- Counselling service from trained professionals after suffering trauma.

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'

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;
 - which is two-way and is based on more than a simple tick- list;
 - which is documented.

IMPROVEMENT LEVEL 1

The discussions contain positive feedback and are based on input from the customer/s and colleagues.

IMPROVEMENT LEVEL 2

Interim discussions are held at least six-monthly with an immediate supervisor or manager.

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

1. Staff are encouraged to undertake:
 - relevant/specialist training;
 - recognised formal qualifications in their chosen relevant disciplines based on national occupational standards;
 - learning and development outside their chosen relevant disciplines.
2. Requests from staff are supported where possible.
3. Staff are aware of the opportunities available to them.
4. Assistance with learning activities is offered.

IMPROVEMENT LEVEL 1

The organisation provides paid time off for all job-related training.

The organisation funds the membership of relevant professional bodies and professional certification fees.

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.

IMPROVEMENT LEVEL 1

Staff with leadership potential and who want to develop are identified and given opportunities to learn about the business from a variety of positions and/or through mentoring.

IMPROVEMENT LEVEL 2

The company has an implemented succession plan that is reviewed annually.
Staff with leadership potential are mentored and developed by the senior management team.

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.

IMPROVEMENT LEVEL 1

The organisation does not request staff to opt out of the working time directive.

IMPROVEMENT LEVEL 2

The organisation demonstrates commitment to staff work life balance by operating flexible working practices.

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

REQUIRED ACHIEVEMENT LEVEL

1. The national minimum and living wage rates are adhered to or exceeded, for basic take home pay.
2. Any overtime payments are paid over and above basic take home pay.
3. Wage calculations for minimum wage do not include other items such as holiday pay, transport, uniforms etc.

IMPROVEMENT LEVEL 1

Staff are paid equitably throughout the organisation according to their job role and responsibilities.

IMPROVEMENT LEVEL 2

The company benchmarks its wage rate for frontline staff against comparable sectors/firms.

Financial records demonstrate transparency on how overheads are built into the charge rate and how wage rates and payment are structured.

IMPROVEMENT LEVEL 3

The organisation pays all staff at least the living wage for the area in which they live and work.

6.5 An SIA Approved Contractor measures and improves staff performance and staff perceptions of the organisation

6.5.1

The organisation regularly reviews performance against key staff performance indicators

This indicator links to:

- 1.3.1 'A plan for the business exists with an effective review schedule'
- 1.2.1 'Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement'
- 1.2.2 'Goals, objectives and targets are clearly visible for all levels of the organisation'
- 6.2.3 'All staff are trained to the required standard'
- 6.3.5 'A process for the appraisal of staff performance is in place and is implemented'
- 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 (e.g. 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. (e.g. 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.

IMPROVEMENT LEVEL 1

Measures covering all aspects of staff activity are regularly reviewed.

Improved performance has taken place in the areas targeted for improvement.

IMPROVEMENT LEVEL 2

All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.

Action plans are in place where performance falls below target.

IMPROVEMENT LEVEL 3

Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.

The organisation's performance compares favourably.

External comparisons are relevant for promoting learning and improvement.

6.5 An SIA Approved Contractor measures and improves staff performance and staff perceptions of the organisation

6.5.2

The organisation regularly reviews performance against responses from staff opinion gathering

This indicator links to:

- 6.1.8 A process for obtaining staff opinions on the organisation, their job and conditions exists and is implemented
- 6.2.3 All staff are trained to the required standard
- 6.3.5 A process for the appraisal of staff performance is in place 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.

IMPROVEMENT LEVEL 1

Performance against more formal staff perception measures, is regularly reviewed.

Measures cover all aspects of staff activity.

Reasons for shortfalls in performance are understood.

Improved performance has taken place in the areas targeted for improvement.

IMPROVEMENT LEVEL 2

All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.

Action plans are in place where performance falls below target.

IMPROVEMENT LEVEL 3

Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.

The organisation's performance compares favourably.

External comparisons are relevant for promoting learning and improvement.

Criterion 7: Leadership



An SIA Approved Contractor has effective leadership.

This criterion is composed of five sub-criteria

The SIA Approved Contractor can demonstrate that it...

- 7.1 the leaders have the knowledge and ability to lead a security company
- 7.2 the leaders review and continuously improve the effectiveness of their leadership skills
- 7.3 the leaders maintain an ethical business culture
- 7.4 the leaders develop and implement an effective system for recognising and rewarding excellence
- 7.5 it measures and improves performance of the organisation

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

7.1.1

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

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.

IMPROVEMENT LEVEL 1

Leaders actively seek information or advice to ensure they are working to the most current and up to date legislation, working practice and industry standards and/or codes of practice for the sector.

IMPROVEMENT LEVEL 2

Senior leaders of the organisation have a recognised qualification in a discipline relevant to their role.

IMPROVEMENT LEVEL 3

Senior leaders of the organisation are involved in the review and update of working practices and industry standards/code of practice for their sector.

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.

IMPROVEMENT LEVEL 1

All managers and directors or people with significant control responsible for processes and key personnel:

- understand the links between the procedures and how they work together to deliver the plans for the business;
- actively ensure they are fully implemented in a manner reflecting the organisations values.

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

7.2.1

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

This indicator links to:

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

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 up to drive; improvements in management style.
3. The areas for improvement are noted and actions are taken to improve behaviour.

IMPROVEMENT LEVEL 1

Improvement plans exist to address development opportunities for improving management style.

Improvement plans detail specific actions to be taken within agreed timescales.

IMPROVEMENT LEVEL 2

All leaders also regularly seek feedback on their leadership strengths and areas for development from other stakeholders such as consumers, police and other authorities.

The feedback is reviewed and improvement plans are created to address the areas for development.

Improvement plans are monitored for progress.

7.3 An SIA Approved Contractor's leaders maintain and ethical business culture

7.3.1

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

REQUIRED ACHIEVEMENT LEVEL

1. Leaders have developed a set of values or a code of ethics that are underpinned by:
 - confidential reporting of issues, non-compliance with procedures, service delivery failures and legislation, regulation and policy infringements;
 - intolerance of bullying and harassment of staff;
 - respectful treatment of staff;
 - ethical dealings with customers and consumers;
 - **Where applicable:** Anti-fraud and bribery policies.
2. The set of values or code of ethics are known by all staff and are implemented throughout the organisation.
3. Procedures are in place to take action against individuals who do not work within the values or code of ethics.

IMPROVEMENT LEVEL 1

Staff agree that leaders act as role models for the values or code of ethics.

IMPROVEMENT LEVEL 2

Leaders take an effective role in promoting a set of values or codes of ethics within the industry.

7.4 An SIA Approved Contractor's leaders develop and implement an effective system for recognising and rewarding excellence

7.4.1

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

This indicator links to:

- 4.2.3 'A clear 'fit and proper' management structure with defined and understood authority levels is in place
- 6.2.2 'An induction pack/training including an introduction to policies and procedures exists'
- 6.2.4 'Assignment-specific training/induction/information is given'
- 6.3.5 'A process for the appraisal of staff performance is in place 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. 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.

IMPROVEMENT LEVEL 1

Leaders' involvement delivers added value to the improvement achieved and is enhanced by active and appropriate staff participation in the process.

IMPROVEMENT LEVEL 2

Leaders can evidence that lessons learnt during any improvement activity and achieved through staff participation are communicated across the organisation as appropriate.

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.

IMPROVEMENT LEVEL 1

Leaders publicise staff recognition within the organisation and to external stakeholders.

7.5 An SIA Approved Contractor measures and improves performance of the organisation's leadership

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

This indicator links to:

- 1.1.1 'The organisation has a clear approach to business that is acted on and communicated to all staff'
- 1.2.1 'Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement'
- 1.2.2 'Goals, objectives and targets are clearly visible for all levels of the organisation'
- 1.5.1 'The organisation regularly reviews performance against success factors and performance indicators'
- 2.1.1 'Key service delivery processes have been identified and are understood by all'
- 2.6.1 'The organisation regularly reviews performance against service level agreements and/or key customer performance indicators'
- 3.4.1 'The organisation implements an approach to consumer contact'
- 3.5.1 'The organisation regularly reviews performance against response from customer opinion gathering'
- 4.4.1 'The organisation regularly reviews performance against key financial indicators critical to the business'
- 5.3.1 'The organisation regularly reviews the management of resources and data'
- 6.2.3 'All staff are trained to the required standard'
- 6.3.5 'A process for the appraisal of staff performance is in place and is implemented'
- 6.5.1 'The organisation regularly reviews performance against key staff performance indicators'
- 6.5.2 'The organisation regularly reviews performance against responses from staff opinion gathering'
- 7.2.1 'Leaders consult stakeholders on their leadership skills and have personal development plans based on the feedback'
- 7.4.1 'Leaders are involved in improvement activity, encouraging staff participation where appropriate'

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 (e.g. service delivery, customer satisfaction, contract performance) and internal key performance indicators (e.g. supplier performance, financial measures, customer service levels, resource/data management, 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.

IMPROVEMENT LEVEL 1

Improved performance has taken place in the areas targeted for improvement.

IMPROVEMENT LEVEL 2

Comparisons of overall organisation performance are made with relevant organisations inside and/or outside of the security industry.

The organisation's performance compares favourably.

External comparisons are relevant for promoting continuous improvement.

Glossary

Analysis

The examination of facts and data to provide a basis for effective decisions and actions.

Approach

The methods used by a provider of security services to manage and deliver their business. When considering approaches organisations should also consider the appropriateness of the method and the effectiveness of their use.

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 Room

A secure area where: assistance, information, advice can be obtained in routine or emergency situations; employees can be monitored; required recording can be affected.

Core Competence

A well performed internal activity or capability that is central to the organisations competitiveness, profitability or efficiency.

Corporate Social Responsibility

Taking 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 individual unique. Diversity can relate to age, race, ethnicity, gender, beliefs, physical abilities & sexual orientation.

Deployment

The extent to which an approach is applied in addressing the requirements of the standard. Deployment measures whether the standards are actually being applied in the workplace across all of the sites and work units in the organisation.

Effective

It asks the question "how well a process or measure addresses its intended purpose?" Determining effectiveness requires the evaluation of how well a need is met by the approach taken and its deployment or by the measure used.

Equal opportunity

The practice of ensuring that all people receive fair and equal treatment regardless of gender, age, race, nationality, religion, disability or sexual orientation.

Good Practice

Superior approaches, policies, processes or methods that lead to exceptional achievement against the business strategy.

Goals

A future condition or performance level that one intends to attain. Goals can be both short-term and long-term. Goals are ends that guide actions. Quantitative goals, or targets, include a numerical point or range.

Head Office

The term used to describe the main operational base for the company. For very small organisations this may be a room within the Owners 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 Standard (ACS) and/or terms and conditions.

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 Standard (ACS) and/or terms and conditions.

Inspection

The careful examination and scrutiny against predetermined, rigid requirements.

Integration

The harmonization of plans, processes, information, resource decisions, actions, results and analysis to support key organisational goals i.e. 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 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 V festival to supply security over the summer. ABC require additional security operatives. They contract with Reed who agree to supply them with Door Supervisors. Reed 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 Reed are properly screened and vetted.

Leader

Any person in the organisation that has responsibility for, or influences other people within the organisation.

Management System

The framework of processes, related performance/result 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, division, department, sole trader, self-employed person that has or may apply to the SIA for Approved Contractor status.

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 e.g. 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, LLPs and SEs need to keep a register of people with significant control ('PSC register') from 6 April 2016.

A PSC is anyone in a company, LLP or SE who meets one or more of the conditions listed in the legislation. This is someone who owns more than 25% of the company's shares

- holds more than 25% of the company's voting rights
- holds the right to appoint or remove the majority of directors
- has the right to, or actually exercises significant influence or control
- holds the right to exercise or actually exercises significant control over a trust or company that meets one of the first 4 conditions.

Perception

The opinion stakeholders have of the organisation

Performance

Output results and their outcomes obtained from processes, services that permit evaluation and comparison relative to goals, standards, past results and other organisations. It can be expressed in non-financial and financial terms.

Policy

An over-arching statement that determines how an organisation will handle an aspect of its business. A policy will have a number of processes and procedures supporting the implementation.

Process

The method by which inputs are converted to outputs.

Procedure

Individual instruction that explain to an individual how to 'do' their job. Assignment instructions are procedures for how to deliver the service to a particular customer.

Purchasing procedure

A procedure an organisation has in place to procure/purchase goods and services such as; stationery, equipment etc.

PSIA

Private Security Industry Act.

Response Room

A secure area where: assistance, information, advice can be obtained in routine or emergency situations; employees can be monitored; required recording can be affected.

Service Delivery

The process of delivering to the customer the requirements as outlined in a contract or terms and conditions of supply.

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 e.g. 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.

Sub-contractor

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 sub-contract 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
- sub-contractors 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.

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