



Security Industry Authority

Approved Contractor Scheme (ACS) Sanctions Framework

September 2019



Background

We are committed to HM Government's principles of good regulation. We aim to be:

- Proportionate
- Accountable
- Consistent
- Transparent
- Targeted

This framework is designed to ensure that we apply these principles in respect to any breach of our ACS conditions. These are listed in our [Get Approved](#) booklet (*PDF, 416kb*).

A breach of our ACS conditions may lead to withdrawal of ACS approval. However, we will seek to work with you to obtain conformance whenever this can be achieved without undermining the credibility of our ACS.

We aim to be consistent in the application of sanctions and this framework details the action we expect to take in the situations described. By exception, we may vary our approach from the sanction indicated; any such exceptions, and the framework itself, will be periodically reviewed by us as necessary.

Explanation of Terms

Improvement need – An improvement need is an area where action is needed in order to meet the requirements of the ACS standard.

Restrict use of licence dispensation – Restriction of LDN authority means that no new staff may be deployed under licence dispensation. Staff already working under licence dispensation may continue to work, subject to ACS conditions and our guidance on licence dispensation.

Withdraw approval – Withdrawal of approval starts with a notice of intent to withdraw and is subject to appeal initially to us and ultimately to the courts.

Further action – Covered separately in [our enforcement policy](#) (*PDF, 136kb*).

Appeals

If you are not satisfied with a decision under this policy you may seek a review to us in the first instance. Please refer to [our enforcement policy](#) (*PDF, 136kb*) for further details.

Sanctions

Situation 1

Up to 3 improvement needs identified during an ACS assessment.

Sanctions

- Require action plan addressing improvement needs within 5 working days.
- Require successful revisit within 6 weeks of assessment.

Notes

- We may restrict or withdraw the use of licence dispensation if any improvement needs relate to Licence Dispensation Notice (LDN)
 - We may withdraw approval if all improvement needs are not met within the required timescale.
 - Any Private Security Industry Act 2001 (PSIA) offences must be addressed immediately. Further action may be considered by us.
 - We may apply an additional condition of approval that requires you to undertake an additional assessment at your expense.
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Situation 2

4 to 6 improvement needs identified during an ACS assessment.

Sanctions

- Require action plan and revisit as above
- Restrict use of LDN.

Notes

- We may withdraw the use of LDN if any improvement needs relate to licence dispensation or to PSIA offences.
 - We may withdraw approval if all improvement needs are not met within the required timescale.
 - Any PSIA offences must be addressed immediately. Further action may be considered by us.
 - We may apply an additional condition of approval that requires you to undertake an additional assessment at your expense.
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Situation 3

More than 6 improvement needs identified during an ACS assessment.

Sanctions

- Withdraw approval.
- Restrict use of LDN pending withdrawal of approval.

Notes

- We may withdraw the use of LDN if any improvement needs relate to licence dispensation or to PSIA offences.
 - Any PSIA offences must be addressed immediately. Further action may be considered by us.
 - We may apply an additional condition of approval that requires you to undertake an additional assessment at your expense.
 - For businesses using the licence management service, the Licence Management Sanctions Framework may also be considered. E.g. where for example if a contractor ceases to be approved or ceases to satisfy the licence management eligibility criteria.
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Situation 4

Improvement need(s) identified outside the ACS assessment process.

Sanctions

- As per situation 1- 3 above.

Notes

- As per situation 1- 3 ab
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Situation 5

Evidence that a business and/or its directors are under criminal investigation, are linked to serious and organised crime, or SIA licence(s) are suspended.

Sanctions

- Action determined on a case by case basis.
- Withdraw approval.

Notes

- Further action may be considered by us.
 - We will only withdraw your approval where there is:
 - a risk to public or employee safety;
 - sufficient disclosable evidence of the risk.
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Situation 6

No ACS assessment undertaken within the required period or assessing body fees not paid.

Sanctions

- Withdraw approval.
- Restrict use of LDN pending withdrawal of approval.

Notes

- Except where any delay has been agreed by us and your ACS assessing body.
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Situation 7

Annual return not submitted.

Sanctions

- Withdraw approval.

Notes

- An annual return must be submitted by the due date.
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Situation 8

Non-compliance with fit and proper conditions, other conditions or malpractice.

Sanctions

- Action determined on a case by case basis.

Notes

- Potential actions include:

- Special instruction issued prior to next ACS assessment;
- Visit by one of our staff;
- Additional ACS assessment;
- Additional condition of approval applied
- Restrict or withdraw LDN;
- Withdraw approval;
- No further action.

Situation 9

Improvement notice (see Get Approved).

Sanctions

- Withdraw approval if the improvement notice is not met.
- During the time period for which the improvement notice applies, we may restrict use of LDN for relevant sector(s) until the improvement notice is lifted.

Notes

- If the improvement notice raises conformance issues then the date of your ACS assessment may be brought forward.
 - If the improvement notice covers activities for which the company is not approved then we will refuse or place on hold any application for the additional activity to be approved until you have been compliant with the improvement notice for a period of 6 months.
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Situation 10

The ACS is brought into serious disrepute by your activities.

Sanctions

- Withdraw approval.

Notes

- We will only withdrawal your approval where there is:
 - a risk to public or employee safety;
 - sufficient disclosable evidence of the risk