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1. Background

1.1. The SIA Approved Contractor Scheme

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.

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 the SIA 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. ISO9000 or specific British Standards, in order to be an 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 paragraph 2.1 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 the applicant's 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.

	Criterion Name	ACS Standard
1	Strategy	An SIA Approved Contractor has clear strategic direction enabling it to deliver value to all stakeholders.
2	Processes	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.
8	Corporate Social Responsibility	An SIA Approved Contractor recognises and acts on its corporate social responsibility.
9	Results	An SIA Approved Contractor measures, understands and improves its achievements in relation to all stakeholders and adopts a continual improvement policy.

Figure 1 – ACS Standard Criteria

2. The ACS Assessment Process

The ACS assessment process, as shown in **Figure 2 – ACS Assessment High Level Process**, is based on self assessment, independently verified by an SIA Approved Assessing Body.

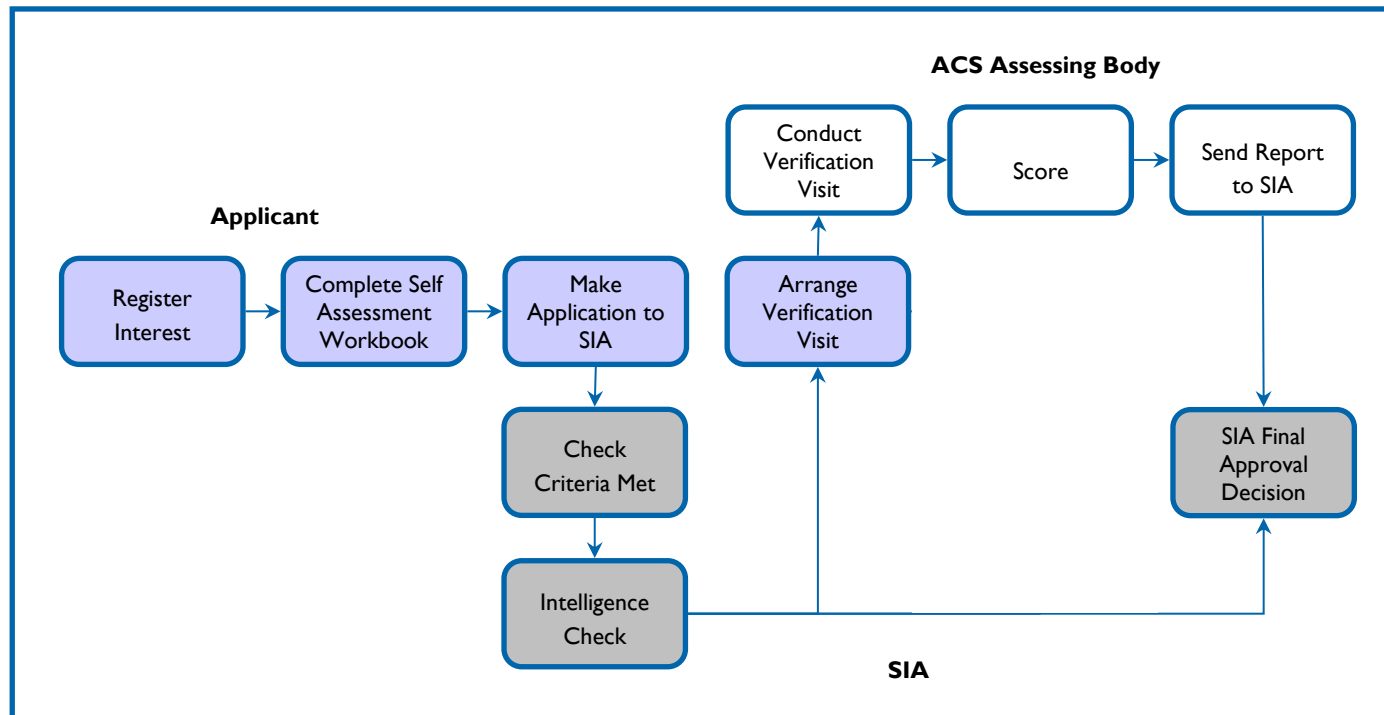


Figure 2 – ACS Assessment High Level Process

Full details of how to become an SIA Approved Contractor are available on the SIA website: www.sia.homeoffice.gov.uk.

2.1. The Self Assessment Workbook

The Self Assessment Workbook (SAW) 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 the SIA or undertaking an independent assessment.

The workbook presents the nine 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 each applicant organisation to identify and demonstrate how its approaches meet the ACS standard.

To help organisations understand where they are in relation to the requirements of the standard up to five different achievement levels are defined for each indicator as shown in **Figure 3 – Example – Achievement Level**. The

columns represent progressive improvement in performance from left to right. The required achievement level for the ACS standard is indicated by the column title (with shaded cell) as so:

Required Achievement Level

For some indicators less than five different achievement levels are defined. In these cases, the right hand columns are intentionally blank.

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

2.4 An SIA Approved Contractor can demonstrate that it has processes in place to monitor and manage service delivery to both customers and consumers.				
2.4.3 Defined and implemented incident procedures exist.				
			Required Achievement Level	
There are no overall incident procedures developed by the organisation. Procedures may have been developed at an individual site in response to incidents previously at that site.	← All aspects of the previous column plus: Incident procedures have been developed by the organisation. Staff working on a customer site are advised of the procedures by colleagues when they arrive at a customer site for the first time.	← All aspects of the previous column plus: There are procedures in place to deal with incidents at customer sites Staff working at a customer site are continually made aware of the procedures. The procedures are followed on every occasion. These have been agreed with the customer and are followed.	← All aspects of the previous column plus: Where these relate to a customer site the procedures have been developed in conjunction with the customer. All appropriate staff are fully aware of the procedures.	← All aspects of the previous column plus: Incident procedures are tested annually by management and lessons learned are used to improve processes.

Figure 3 – Example of Achievement Level

The ACS standard has been designed as a quality standard for application in relation to all the activities regulated by the SIA. However, the SIA recognises 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 appropriate British Standards that approved contractors must conform with. Since these are codes of practice and not requirements standards it is anticipated some detail in the codes of practice will not be appropriate to every contractor. In such cases, a contractor should consult their assessing body or the SIA for advice.

Figure 4 –Security Industry Codes of Practice / Working Standards identifies the relevant codes of practice for each activity for which ACS approval is available. Contractors seeking approval for a particular activity 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 the SIA website: www.sia.homeoffice.gov.uk.

Licence Management - Figure 4 also includes additional standards that apply when approved contractors are approved to use or considering using the Licence Management service. These standards do not apply to approved contractors not using the Licence Management service.

Standard Number*	Title	Use for:
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 Stewards – Code of Practice	Door Supervision
BS7872	Manned Security Services – Cash in Transit (Collection and Delivery) – Code of Practice	Cash & Valuables in Transit
BS7984	Key holding and Response Services – Code of Practice	Key Holding
BS8507-1	Close Protection Services within the United Kingdom – Code of Practice	Close Protection
BS8517-1	The use of General Purpose Security Dogs – Code of Practice	Security Guarding
BS8584:2015	Vacant Property Protection Services – Code of Practice	Security Guarding/ Key Holding
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

Figure 4 –Security Industry Codes of Practice / Working standards

*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 regulated by the SIA then the SIA will expect approved contractors to conform to these codes of practice within 6 months of their publication.

Figure 5 – Overlap between ISO9001 and the ACS Standard.

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 30 or so 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, Innovation and Skills www.bis.gov.uk or at the Business Link web site www.businesslink.gov.uk

ACS Criteria	Coverage of ACS Criteria by ISO 9001
Strategy	Good
Processes	Good
Commercial Relationship Management	Very Good
Finance	Good
Resources	Very Good
People	Good
Leadership	Some
Corporate Social Responsibility	None
Results	Some

Figure 5 – Overlap between ISO 9001 and the ACS Standard

2.2. 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.

2.3. How to use the workbook

The ACS Self Assessment Workbook and the supporting ACS 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 selecting the column that best represents the performance of your organisation. You must meet, in a way appropriate to your business, all the requirements listed in the extreme left hand column before moving across to the next column. Work across the columns to the right until you reach your achievement level, i.e. the highest column you are completely achieving.

The required achievement level for the ACS Standard is marked.

Where a column begins with the phrase ← **All aspects of the previous column plus:** then every requirement of the previous column must be satisfied plus all those in the next column.

Note the items you have considered to be key in determining your position.

When thinking about your 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.

For example:

Indicator 2.4.1 'Use of subcontractors is agreed with customers and subject to defined quality assurance procedures' would not be applicable if your organisation does not use sub-contractors in the delivery of any contracts.

To familiarise yourself with the SAW and the process should take you about one hour. The time involved to actually complete the SAW 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 the SIA 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.

2.4. 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 the SIA 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 the SIA 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

www.sia.homeoffice.gov.uk/Pages/acs-routes.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. All scores of '0' indicate achievement of the ACS Standard. All positive scores indicate that you are performing above the ACS Standard in that area. Negative scores indicate where the ACS Standard has not been met.

In order to become an SIA Approved Contractor you must achieve at least a score of '0' in 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 Licence Management services then they must meet additional requirements 'where applicable'. For example, indicator 5.1.1 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 the SIA, press the SUBMIT button. Once you have submitted your self assessment to the SIA, 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.

3. ACS Self Assessment Workbook Criteria

Please Note Key To Changes:

Requirements change for 2017

If requirements have materially changed from the 2013 previous workbook this is highlighted by a note on the left hand side of the relevant indicator table.

Good Practice change for 2017

If good practice boxes have been added this is highlighted by a note on the right hand side

*Please note SIA ACS assessors will assess and report against the changed SAW requirements from **January 2017**. The new requirements become mandatory (part of ACS Terms & Conditions of Approval) from **April 2017**.*

I. Strategy

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

I.1 An SIA Approved Contractor has an approach to business that enables delivery of value to all stakeholders.				
I.1.1 The organisation has a clear approach to business that is acted on and communicated to all staff.				
			Required Achievement Level	
The organisation can describe its overall approach to business including its role, purpose or mission.	← All aspects of the previous column plus: The approach to business supports delivery of service to the customer. The approach to business is explained to staff when they join the organisation.	← All aspects of the previous column plus: There is ongoing communication of the approach to business to staff including their role in its delivery.	← All aspects of the previous column plus: The approach to business focuses on meeting the needs of customers, consumers and the wider public. What is important to the business and what is expected of staff are clearly defined. Plans to maintain and develop the business are in line with the approach to business.	← All aspects of the previous column plus: 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.

I. Strategy

I.1 An SIA Approved Contractor has an approach to business that enables delivery of value to all stakeholders.				
I.1.2 Key stakeholders are aware of the organisation's overall approach to business.				
		Required Achievement Level		
The organisation's role, purpose or mission is communicated to customers, consumers and the wider public if requested.	<p>← All aspects of the previous column plus:</p> <p>Potential customers are always made aware of the role, purpose or mission during the acquisition of new business.</p> <p>Existing customers are always made aware of the role, purpose or mission during the acquisition of new business.</p>	<p>← All aspects of the previous column plus:</p> <p>Customers and where appropriate other key stakeholders are always made aware of the organisation's overall approach to business as part of negotiations to acquire new business.</p>	<p>← All aspects of the previous column plus:</p> <p>Other stakeholders such as consumers, police and other authorities are made aware of the organisation's overall approach to business.</p> <p>Customers are asked to comment on how well the approach to business is applied.</p>	<p>← All aspects of the previous column plus:</p> <p>There is ongoing communication of the approach to business to all stakeholders such as consumers, police, other authorities and the wider public.</p> <p>Other stakeholders are asked to comment on how well the approach to business is applied by the organisation and by its staff.</p>

I. Strategy


I.2 An SIA Approved Contractor can demonstrate clear policies for the delivery of service to required standards.				
I.2.1 Critical success factors have been clearly identified and internal measures are in place to monitor progress towards achievement.				
			Required Achievement Level	
Internal financial measures are in place. Review of performance against measures happens infrequently or if a problem occurs.	← All aspects of the previous column plus: Critical success factors have been identified. Internal measures include financial measures and customer service levels.	← All aspects of the previous column plus: Internal measures also include staff measures. Review of performance against measures happens on a regular basis.	← All aspects of the previous column plus: All measures have targets and are reviewed by appropriate leaders. Measures are amended/updated based on performance.	← All aspects of the previous column plus: Progress towards achievement of targets is monitored through an internal balanced scorecard or other valid mechanism.

Good Practice change for 2017

I. Strategy

I.2 An SIA Approved Contractor can demonstrate clear policies for the delivery of service to required standards.				
I.2.2 Goals, objectives and targets are clearly visible for all levels of the organisation.				
		Required Achievement Level		
Goals, objectives and targets are set at a high level within the organisation.	<p>← All aspects of the previous column plus:</p> <p>Goals, objectives and targets cover the financial and service delivery aspects of the organisation.</p> <p>Staff are aware of the goals, objectives and targets that affect their area of service delivery.</p>	<p>← All aspects of the previous column plus:</p> <p>Goals, objectives and targets are discussed with individuals.</p> <p>There is a link between the goals, objectives and targets of individual staff and the organisation's overall objectives.</p> <p>They cover the financial, service delivery and staffing aspects of the organisation.</p> <p>Staff are aware of how their individual goals and objectives are linked to the organisations overall objectives.</p>	<p>← All aspects of the previous column plus:</p> <p>Goals, objectives and targets can be traced down through the organisation.</p> <p>They are developed through discussions with the staff responsible for their achievement.</p> <p>There is a clear link with the role, purpose or mission and plans to maintain and/or develop the business.</p> <p>They cover all aspects of the organisation such as financial, service delivery, staffing and reputation.</p>	

I. Strategy

1.2 An SIA Approved Contractor can demonstrate clear policies for the delivery of service to required standards.				
1.2.3 Procedures have been defined to ensure conformance to working standards or codes of practice and are fully implemented.				
		Required Achievement Level		
<p>The organisation has decided to deliver customer service according to internally agreed standards.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation is committed to delivering a quality service to its customers that is based on established high standards or a 'code of practice'.</p> <p>The organisation has up to date copies of relevant industry standards it is working to.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff are aware of the standards or codes of practice that are relevant to them.</p> <p>They are understood and implemented throughout the organisation.</p> <p>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.</p> <p>Where applicable the working standards include the SIA: Code of Connection; LM Manual</p> <p>Any deviation from the recommendations of a particular Code of Practice should be justified.</p> <p>Staff responsible for service delivery are aware they must deliver to these standards. They have been implemented in service delivery areas.</p> <p>A process for checking compliance exists. Where applicable this activity includes audits to demonstrate adherence to LM eligibility criteria and conditions.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation holds full UKAS accredited certification for British Standards within sector scope of ACS assessment.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation can demonstrate that it participates constructively in the development of private security industry code(s) of practice.</p>

Requirements change for 2017

Good Practice change for 2017

I. Strategy

1.3 An SIA Approved Contractor can demonstrate a coherent plan for the business which is regularly reviewed.				
1.3.1 A sound plan for the business exists with an effective review schedule.				
		Required Achievement Level		
A plan for the business exists that is primarily financial in scope.	<p>← All aspects of the previous column plus:</p> <p>A plan for the business exists that is based on the financial needs of the organisation and the needs of customers.</p> <p>The plan for the business is reviewed at least annually unless driven by exceptional events.</p>	<p>← All aspects of the previous column plus:</p> <p>A plan for the business also reflects:</p> <ul style="list-style-type: none"> • the approach to business of the organisation • the needs and expectations of customers and staff and • Is relevant to the services being provided 	<p>← All aspects of the previous column plus:</p> <p>The plan for the business also incorporates analysis of performance against internal indicators and indicates targets for the coming period.</p> <p>A schedule for the review of performance against the plan for the business exists and is fully implemented.</p>	<p>← All aspects of the previous column plus:</p> <p>The plan for the business also:</p> <ul style="list-style-type: none"> • is based on an understanding of the needs and expectations of all stakeholders • incorporates an understanding of information gained from learning activities, analysis of competitor information, benchmarking exercises, and social, environmental and legal issues

Good Practice change for 2017

I. Strategy

I.4 An SIA Approved Contractor can demonstrate an effective internal and external communications strategy.				
I.4.1 The management of internal and external communication is handled effectively.				
		Required Achievement Level		
<p>The organisation communicates with its customers and staff in an unplanned and ad-hoc manner. Responses to adverse publicity about either the organisation or events within the sector are unplanned.</p>	<p>← All aspects of the previous column plus:</p> <p>Planned communication takes place between the organisation, its customers and staff.</p> <p>There are some procedures in place to manage adverse publicity about either the organisation or events within the sector.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation has identified the communication needs of its customers and staff</p> <p>All opportunities for communication between the organisation, customers and staff are used.</p> <p>The procedures to manage adverse publicity also include:</p> <ul style="list-style-type: none"> • a designated spokesperson • authorised levels of sign-off on comments <p>These procedures are always used.</p>	<p>← All aspects of the previous column plus:</p> <p>Any feedback received on the way the organisation communicates is reviewed and improvements made in future communication.</p> <p>Information concerning the communication needs of customers and staff is used to plan how the organisation communicates with these groups.</p> <p>The procedures to manage adverse publicity about either the organisation or events within the sector also include:</p> <ul style="list-style-type: none"> • keeping of records of any responses made • involving customers in the planning of responses <p>These procedures are always used.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation has also identified the communication needs of other stakeholder such as consumers, police, other authorities and the wider public.</p> <p>This information is used to develop and implement plans to communicate with these stakeholders.</p> <p>Every available opportunity for communication between the organisation and other stakeholders is used.</p> <p>The organisation checks the awareness and understanding of stakeholders to ensure the effectiveness of its communication.</p>

2. Processes

An SIA Approved Contractor has robust processes in place to ensure delivery to its customers and stakeholders.

2.1 An SIA Approved Contractor can demonstrate that it has identified and understands its key service delivery processes.					
2.1.1 Key service delivery processes have been identified and are understood by all.					
		Required Achievement Level			
Requirements change for 2017	The organisation has identified the key processes for the delivery of services to its customers.	← All aspects of the previous column plus: These are documented in training manuals or in individual procedures and are reliably followed in practice. These have standards of performance which can be assessed for compliance.	← All aspects of the previous column plus: All key service delivery processes have an identified responsible manager, director or people with significant control. Key service delivery processes have measures of performance that are monitored. Key service delivery processes are reviewed to ensure continuing relevance. Key service delivery processes are regularly tested outside routine site visits and inspections to ensure continuing effectiveness.	← All aspects of the previous column plus: The identified responsible manager, director and people with significant control takes an active interest in the achievement of a high level of performance. All process measures have performance targets. The impact of performance in key service delivery processes is understood by all. Processes are reviewed to ensure continuing relevance and effectiveness in the delivery of excellent service to the customer. Actions resulting from tests of the key service delivery processes, are created with resolution timeframes.	Good Practice change for 2017

2. Processes

2.2 An SIA Approved Contractor can demonstrate that it has a sound plan to ensure continuity of service delivery.				
2.2.1 There is a current and effective plan to ensure continuity of service delivery.				
	Required Achievement Level			
Plans for business continuity during periods of labour shortages exist.	<p>← All aspects of the previous column plus:</p> <p>The plans also cover incident and crisis management in all aspects of service delivery.</p> <p>The plans are relevant to the business</p> <p>The plans are reviewed periodically to ensure continued effectiveness.</p> <p>The business continuity plan has been tested against some of the highest risk scenarios.</p>	<p>← All aspects of the previous column plus:</p> <p>The plans also contain:</p> <ul style="list-style-type: none"> • details of actions to be taken • named responsible people <p>There is a schedule to review the continuing relevance and effectiveness of the plans.</p> <p>The plans cover the full scope of the business.</p>	<p>← All aspects of the previous column plus:</p> <p>The plans for business continuity are tested regularly for effectiveness.</p> <p>Actions resulting from tests of the plans for business continuity are created with resolution timeframes.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation has been externally accredited to a business continuity best practice system, such as BS EN ISO 22301.</p> <p>The organisation can demonstrate that it effectively contributes to business continuity best practice and/or standards development.</p>

Good Practice change for 2017

2. Processes


2.3 An SIA Approved Contractor can demonstrate that it has processes in place to identify customer needs.				
2.3.1 The organisation meets its customers' requirements.				
			Required Achievement Level	
Requirements change for 2017	<p>The organisation conducts 'fact finding' discussions with new customers to identify their requirements.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation contacts or meets with its customers to:</p> <ul style="list-style-type: none"> clarify requirements following a complaint 	<p>← All aspects of the previous column plus:</p> <p>The organisation also contacts or meets with its customers to:</p> <ul style="list-style-type: none"> discuss ongoing requirements discuss changes to existing requirements 	<p>← All aspects of the previous column plus:</p> <p>The organisation has effective meetings/conference calls with all customers.</p> <p>The customers security requirements are reviewed at these meetings to ensure currency.</p> <p>All staff at a customer site are fully aware of that customer's requirements.</p> <p>There are procedures in place to monitor the awareness of staff of customer requirements.</p>

2. Processes

2.3 An SIA Approved Contractor can demonstrate that it has processes in place to identify customer needs.				
2.3.2 There is an awareness of the impact of service delivery on consumers at all levels of the organisation.				
			Required Achievement Level	
The impact of service delivery on consumers (the wider public affected by the security service) is not considered by the organisation.	<p>← All aspects of the previous column plus:</p> <p>The impact of service delivery on consumers is discussed when there has been a complaint or adverse publicity concerning the sector.</p>	<p>← All aspects of the previous column plus:</p> <p>The impact of service delivery on consumers is discussed at a senior management level at regular intervals.</p> <p>All staff are aware of the impact of service delivery on consumers and, where appropriate, their role in protecting the public.</p>	<p>← All aspects of the previous column plus:</p> <p>The role of protecting the public is discussed throughout the organisation and forms part of discussions with the customer.</p> <p>All staff are trained in:</p> <ul style="list-style-type: none"> • their role in protecting the public • how this interfaces with the police and with other authorities 	<p>← All aspects of the previous column plus:</p> <p>There are procedures in place to monitor this awareness that are fully implemented.</p>

2. Processes

Requirements change for 2017

2.3 An SIA Approved Contractor can demonstrate that it has processes in place to identify customer needs.				
2.3.3 The management of contractual arrangements with the customer has been defined and implemented.				
				Required Achievement Level
Contractual arrangements are managed in an ad-hoc manner.	<p>← All aspects of the previous column plus:</p> <p>There are procedures in place for the establishment and management of contractual arrangements with key customers. These include:</p> <ul style="list-style-type: none"> • negotiation of the terms and conditions of supply • documentation confirming terms and conditions of supply 	Some of the contracts and/or terms and conditions of supply have been signed as approved by both parties.	<p>The procedures also include the establishment of written contracts. All contracts are signed and approved by both parties or customer refusal to sign can be evidenced.</p> <p>The procedures are applied to all customers.</p> <p>The building of the customer /service provider relationship is a high priority.</p>	<p>← All aspects of the previous column plus:</p> <p>The procedures also ensure adherence to the contractual arrangement.</p> <p>Contracts are monitored for review and renewal periods.</p>

2. Processes

2.4 An SIA Approved Contractor can demonstrate that it has processes in place to monitor and manage service delivery to both customers and consumers.				
2.4.1 Use of subcontractors is agreed with customers and subject to defined quality assurance procedures				
			Required Achievement Level	
<p>Subcontractors are used as and when required.</p> <p>Customers are advised by the organisation that subcontractors are being used.</p> <p>The use of subcontractors is agreed with the customer before their deployment.</p> <p>The customer has the opportunity to ask that subcontractor(s) is (are) removed from any particular assignment.</p> <p>Subcontractors are required to ensure that all relevant staff hold a valid SIA licence.</p>	<p>← All aspects of the previous column plus:</p> <p>There are implemented procedures for the selection of subcontractors which ensure appropriate vetting and screening procedures.</p> <p>All subcontractors sign a confidentiality agreement.</p> <p>All subcontractors are given contract terms and conditions of engagement and the provision of equipment is agreed and documented in the contract.</p>	<p>← All aspects of the previous column plus:</p> <p>All subcontractor organisations used to deliver a security service are SIA approved contractors.</p> <p>Subcontractors are not allowed to subcontract further to non ACS businesses without SIA approval.</p> <p>All subcontractors are paid on an invoice only basis and within contractually agreed timeframes.</p>	<p>← All aspects of the previous column plus:</p> <p>Where appropriate, a process exists for the audit of the performance of subcontractors.</p> <p>Subcontractors audits include on-site visits.</p>	<p>← All aspects of the previous column plus:</p> <p>Performance measures are used to monitor subcontractors.</p> <p>Feedback is obtained from customers relating to subcontractors performance and fed back to subcontractors to identify areas of improvement.</p>

Good Practice change for 2017

2. Processes

2.4 An SIA Approved Contractor can demonstrate that it has processes in place to monitor and manage service delivery to both customers and consumers.				
2.4.2 Effective customer and consumer performance indicators and service level agreements have been established.				
		Required Achievement Level		
No customer or consumer performance indicators have been established.	<p>← All aspects of the previous column plus:</p> <p>Service level agreements are agreed for key customers with some indication of required performance standards.</p> <p>Performance against the indicators is reviewed regularly.</p>	<p>← All aspects of the previous column plus:</p> <p>All customer contracts and/or terms and conditions of supply have an agreed service level agreement with performance indicators.</p> <p>Performance targets are agreed and reviewed regularly with the customer.</p> <p>Where customer targets are not met action plans are developed together. Timescales for improvement are agreed.</p>	<p>← All aspects of the previous column plus:</p> <p>Service level agreements with customers include some consumer indicators. These relate to users impacted by service delivery.</p> <p>Performance against these indicators is regularly reviewed internally.</p>	<p>← All aspects of the previous column plus:</p> <p>There are additional consumer measures in place. These relate to the:</p> <ul style="list-style-type: none"> • general public • the police • other authorities <p>These are regularly reviewed with the customer.</p> <p>All consumer performance indicators have targets aimed at improving the results.</p> <p>Where targets are not met action plans are developed with agreed completion timescales.</p>

2. Processes

2.4 An SIA Approved Contractor can demonstrate that it has processes in place to monitor and manage service delivery to both customers and consumers.				
2.4.3 Defined and implemented incident procedures exist.				
			Required Achievement Level	
<p>There are no overall incident procedures developed by the organisation.</p> <p>Procedures may have been developed at an individual site in response to incidents previously at that site.</p>	<p>← All aspects of the previous column plus:</p> <p>Incident procedures have been developed by the organisation.</p> <p>Staff working on a customer site are advised of the procedures by colleagues when they arrive at a customer site for the first time.</p>	<p>← All aspects of the previous column plus:</p> <p>There are procedures in place to deal with incidents at customer sites</p> <p>Staff working at a customer site are continually made aware of the procedures.</p> <p>The procedures are followed on every occasion.</p> <p>These have been agreed with the customer and are followed.</p>	<p>← All aspects of the previous column plus:</p> <p>Where these relate to a customer site the procedures have been developed in conjunction with the customer.</p> <p>All appropriate staff are fully aware of the procedures.</p>	<p>← All aspects of the previous column plus:</p> <p>Incident procedures are tested annually by management and lessons learned are documented and used to improve processes.</p>

Requirements change for 2017

Good Practice change for 2017

2. Processes

Requirements change for 2017

2.4 An SIA Approved Contractor can demonstrate that it has processes in place to monitor and manage service delivery to both customers and consumers.				
2.4.4 All procedures are regularly reviewed.				
		Required Achievement Level		
Service delivery procedures are reviewed after a customer complaint has been received or an incident has highlighted an improvement opportunity.	<p>← All aspects of the previous column plus:</p> <p>All associated service delivery procedures are also reviewed by the manager, director or people with significant control responsible.</p> <p>There are processes in place that enables issues and improvements to be raised by users.</p>	<p>← All aspects of the previous column plus:</p> <p>Service delivery procedures are reviewed on a regular basis.</p> <p>Improvements made to service delivery processes, as a result of review, can be identified and demonstrated by the organisation.</p>	<p>← All aspects of the previous column plus:</p> <p>There are processes in place that enable service delivery issues and improvements to be raised and reviewed outside of the review process.</p>	<p>← All aspects of the previous column plus:</p> <p>All of the organisations procedures are subject to regular review.</p> <p>There are processes in place for all procedural issues and improvements to be raised and reviewed outside of the review process.</p>

2. Processes

2.4 An SIA Approved Contractor can demonstrate that it has processes in place to monitor and manage service delivery to both customers and consumers.				
2.4.5 Effective procedures exist to ensure the attendance of staff on customer sites.				
		Required Achievement Level		
Staff are not required to register their arrival and departure from work.	<p>← All aspects of the previous column plus:</p> <p>All staff working at a customer site/venue are required to register their arrival and departure from work.</p> <p>These procedures apply only to customer sites that are considered to be high risk.</p>	<p>← All aspects of the previous column plus:</p> <p>Attendance records are kept to ensure that procedures are followed. These are implemented for every staff working at a customer site/venue for every site.</p> <p>Attendance at customer sites is registered where staff are required to visit multiple sites during the course of their work period.</p> <p>Attendance records are reviewed by management on a routine basis.</p> <p>Staff are aware of the importance of adhering to these procedures.</p> <p>Procedures are in place to deal with staff non-attendance at customer sites.</p>	<p>← All aspects of the previous column plus:</p> <p>Targets are set and routinely monitored for attendance at customer sites.</p> <p>Email or telephone means are used to register attendance at customer sites.</p>	<p>← All aspects of the previous column plus:</p> <p>Technology is used effectively to alert the businesses to the whereabouts of lone workers and monitor their safety.</p>

Requirements change for 2017

Good Practice change for 2017

2. Processes


2.5 An SIA Approved Contractor can demonstrate that it has a process in place to improve its processes to the benefit of all stakeholders.				
2.5.1 Plans for improvement exist, based on the review of actual performance.				
		Required Achievement Level		
<p>Improvements are actioned on an ad-hoc basis.</p> <p>These improvements are generally conducted without the co-ordination of management, with no prioritisation.</p>	<p>← All aspects of the previous column plus:</p> <p>Improvement plans exist for some service delivery areas and there is some co-ordination and prioritisation of activities.</p> <p>Reviews are undertaken occasionally to ensure activities deliver some improvement.</p>	<p>← All aspects of the previous column plus:</p> <p>Improvement plans exist that cover customer site based processes.</p> <p>Improvement activity is coordinated and prioritised.</p> <p>All plans have dates for delivery and expected improvement targets.</p> <p>Improvement plans are reviewed at a local level.</p>	<p>← All aspects of the previous column plus:</p> <p>Improvement plans exist that cover processes internal to the organisation.</p> <p>Prioritised improvement plans are produced as a result of the review of performance.</p> <p>Regular reviews of all plans for improvement are conducted by the appropriate level of management to ensure delivery of improvement.</p>	<p>← All aspects of the previous column plus:</p> <p>All plans have assigned owners, dates for delivery and expected outcomes.</p>

2. Processes

2.5 An SIA Approved Contractor can demonstrate that it has a process in place to improve its processes to the benefit of all stakeholders.				
2.5.2 Procedures for the implementation of changes are in place and used.				
		Required Achievement Level		
Procedures are in place to manage the implementation of changes to procedures.	<p>← All aspects of the previous column plus:</p> <p>Procedures are in place to manage the implementation of changes to policies and procedures.</p> <p>These include:</p> <ul style="list-style-type: none"> communicating the change to the relevant staff maintenance of document version control <p>These procedures are used to implement major changes.</p>	<p>← All aspects of the previous column plus:</p> <p>Procedures are in place to manage the implementation of changes to procedures that are relevant to the type and impact of the change.</p> <p>These include:</p> <ul style="list-style-type: none"> communicating the change to the relevant staff training, where appropriate, takes place prior to the change being implemented maintenance of document version control <p>These procedures are used to implement changes to service delivery processes.</p> <p>Progress is monitored to ensure delivery of desired results.</p>	<p>← All aspects of the previous column plus:</p> <p>The procedures to implement change are clear and designed to maximise its effectiveness.</p> <p>These include:</p> <ul style="list-style-type: none"> 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. <p>These procedures are used for all implemented changes.</p>	

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.

3.1 An SIA Approved Contractor can demonstrate how it manages the procurement of goods and services from its suppliers and monitors its ongoing performance.				
3.1.1 Sound purchasing procedures are implemented.				
			Required Achievement Level	
<p>There are no purchasing procedures in place. Suppliers are usually selected solely on the basis of cost.</p>	<p>← All aspects of the previous column plus:</p> <p>There are guidelines as to who in the organisation can make or authorise purchases for items that may impact the quality of service delivery. Purchases of these items are only made from preferred suppliers. Preferred suppliers have been selected based on a demonstrated ability to meet all quality, cost and service requirements. Where the organisation is using a consultant to support the management of the organisation's ACS application and approval. Additional checks are in place to ensure the consultant's suitability. Additional checks might include</p> <ul style="list-style-type: none"> • a positive check on the consultant's track record and references • knowledge of the private security industry • reviewing the consultants continuous professional development and how he keeps up to date with the industry <p>Feedback from staff on performance is considered before making purchases.</p>	<p>← All aspects of the previous column plus:</p> <p>There are purchasing procedures in place that contain clearly defined specifications/requirements for all purchases that impact the quality of service delivery. These are appropriate for the size/type of purchase being made. Appropriate approval levels have been defined and are understood by relevant staff. The list of preferred suppliers is actively maintained and updated on a regular basis, based upon a review of supplier performance.</p>	<p>← All aspects of the previous column plus:</p> <p>An ethical purchasing policy exists identifying 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 their own organisation. For example: Child labour; Forced labour, Health & Safety; Discrimination, Freedom of association; Fair pay for staff; Anti-corruption; Environmental impact and Working hours.</p>	<p>← All aspects of the previous column plus:</p> <p>The ethical purchasing policy is implemented and suppliers are audited against it,</p>

Requirements change for 2017

Good Practice change for 2017

3. Commercial Relationship Management

3.1 An SIA Approved Contractor can demonstrate how it manages the procurement of goods and services from its suppliers and monitors its ongoing performance.				
3.1.2 The organisation works in partnership with its suppliers to improve performance.				
		Required Achievement Level		
<p>Delivery timescales are agreed for each order when placed.</p> <p>Past performance is considered when new purchases are required.</p>	<p>← All aspects of the previous column plus:</p> <p>Performance requirements, e.g. specifications, delivery requirements, are determined and suppliers including labour providers/sub-contractors are advised accordingly.</p> <p>Suppliers including labour providers/sub-contractors are given feedback if performance requirements are not met.</p>	<p>← All aspects of the previous column plus:</p> <p>Performance requirements i.e. specifications delivery requirements, are determined and agreed with suppliers including labour providers/sub-contractors.</p> <p>Discussions take place to review suppliers including labour providers/sub-contractors performance against the agreed requirements.</p> <p>suppliers including labour providers/sub-contractors are paid within the contractually agreed timescales.</p>	<p>← All aspects of the previous column plus:</p> <p>Regular meetings are conducted with key suppliers including labour providers/sub-contractors to review performance against targets.</p> <p>Where performance is below standard actions for improvement including timescales are agreed.</p>	<p>← All aspects of the previous column plus:</p> <p>Actions arising from review meetings are documented with defined actions and timescales for resolution.</p> <p>Where performance is below standard actions for improvement including timescales are agreed.</p> <p>The organisation works with suppliers to improve performance.</p> <p>All levels of the organisation are given the opportunity to work with suppliers including labour providers/sub-contractors and customers to improve processes.</p>

Requirements change for 2017

3. Commercial Relationship Management

Requirements change for 2017

3.2 An SIA Approved Contractor can demonstrate how it offers professional advice to its customers on the delivery of appropriate services consistent with the organisation's strategy and business ethics.				
3.2.1 Professional advice is offered to customers on the best approach to meet their needs.				
		Required Achievement Level		
<p>Professional advice is offered to customers on an ad-hoc basis.</p> <p>It is possible for any staff to offer advice to a customer regardless of their level of experience and training.</p>	<p>← All aspects of the previous column plus:</p> <p>There is some consultation with appropriate personnel who are sufficiently competent to give advice.</p>	<p>← All aspects of the previous column plus:</p> <p>Discussions are held with potential customers on how best to meet their needs as part of the tendering process.</p> <p>These discussions are conducted by appropriate competent personnel to ensure the right advice is given.</p> <p>When a customer specifies a level of security that is not appropriate, then the customer is told of the implications.</p>	<p>← All aspects of the previous column plus:</p> <p>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:</p> <ul style="list-style-type: none"> ensuring the advice is relevant to customer needs developing the service offered to the customer <p>Customer opinion of the advice given is sought and the lessons learned are fed back as improvements to the process.</p>	<p>← All aspects of the previous column plus:</p> <p>Any changes to the recommendations made are explained and documented.</p> <p>Customers are encouraged to review their security requirements regularly. The business offers appropriate assistance to do this.</p> <p>The organisation highlights defects in the customer's security arrangements to them.</p>

3. Commercial Relationship Management

3.2 An SIA Approved Contractor can demonstrate how it offers professional advice to its customers on the delivery of appropriate services consistent with the organisation's strategy and business ethics.				
3.2.2 An effective approach to responding to tender/request for services is implemented.				
		Required Achievement Level		
<p style="color: red; transform: rotate(-90deg); font-weight: bold;">Requirements change for 2017</p> <p>The organisation has an ad-hoc approach to responding to tender/requests for service.</p>	<p>← All aspects of the previous column plus:</p> <p>There is a process in place to respond to requests for service either through a tendering process or otherwise.</p> <p>This includes undertaking pre-contract site visits and risk assessment, which where appropriate take account of any TUPE requirements.</p> <p>The process is used for some responses to procurement requests.</p> <p>There is a process in place for responding to the short notice requirements of a customer.</p>	<p>← All aspects of the previous column plus:</p> <p>The process to respond to requests for service includes:</p> <ul style="list-style-type: none"> • understanding the customer requirements • demonstrating a 'fit and proper' management <p>Selected people are responsible for the tendering process.</p> <p>Lessons learned from all bids are fed back into the process in the form of improvements.</p> <p>The process is used for all responses to procurement requests.</p>	<p>← All aspects of the previous column plus:</p> <p>a feasibility study is conducted prior to the commencement of a contract which evaluates environmental/technical challenges and considerations</p>	<p>← All aspects of the previous column plus:</p> <p>ACS benchmarking data is used to support tender submissions and requests to supply services.</p>

3. Commercial Relationship Management

3.2 An SIA Approved Contractor can demonstrate how it offers professional advice to its customers on the delivery of appropriate services consistent with the organisation's strategy and business ethics.				
3.2.3 A process for obtaining new business exists and is implemented.				
		Required Achievement Level		
New business is obtained in an ad-hoc manner.	← All aspects of the previous column plus: The organisation has a well defined process for obtaining new business.	← All aspects of the previous column plus: The process is based around ethical behaviour and integrity. It clearly links to the approach to business of the organisation. The process for canvassing and obtaining new business is consistent with the plans for the business. In canvassing and tendering for business the organisation highlights the benefits of using SIA Approved Contractors.	← All aspects of the previous column plus: The company makes use of approaches such as networking at industry event, local business forums and/or sector specific groups. The company reviews unsuccessful bids and learns lessons for future tendering.	← All aspects of the previous column plus: The Approved Contractors's online profile is reviewed before every tender submission to ensure currency and accuracy and reflects the organisations sales proposition in the tender process.

Requirements change for 2017

Good Practice change for 2017

3. Commercial Relationship Management

Requirements change for 2017

3.3 An SIA Approved Contractor can demonstrate how it manages relationships with customers.				
3.3.1 A process for customer site visits is implemented.				
		Required Achievement Level		
<p>Customer site visits take place occasionally.</p> <p>There is no one individual responsible for conducting the site visits for specific customers.</p>	<p>← All aspects of the previous column plus:</p> <p>There is a process with supporting procedures for ongoing customer site visits.</p> <p>These detail the frequency of visits and the method of confirming the visits have taken place.</p> <p>The organisation adheres to the procedures for some of its key customers.</p>	<p>← All aspects of the previous column plus:</p> <p>Customer site visits are conducted regularly and have a clear purpose.</p> <p>The organisation adheres to the procedures for visits for all customers.</p>	<p>← All aspects of the previous column plus:</p> <p>The larger customers have a designated owner who is responsible for the management of the account.</p> <p>Senior management regularly visit customer sites and there is a method of confirming the visits have taken place.</p>	<p>← All aspects of the previous column plus:</p> <p>Every customer has a pre designated 'owner' who is responsible and accountable for the successful management of that account.</p>

3. Commercial Relationship Management

3.3 An SIA Approved Contractor can demonstrate how it manages relationships with customers.				
3.3.2 A customer complaints procedure is in place and implemented.				
		Required Achievement Level		
<p>Customer complaints are handled in an ad-hoc manner.</p> <p>No response is sent to the customer.</p>	<p>← All aspects of the previous column plus:</p> <p>Adverse customer feedback is classified and treated as a complaint.</p> <p>Customer complaints are handled in a timely manner.</p> <p>All complaints receive a standard response.</p>	<p>← All aspects of the previous column plus:</p> <p>All customer complaints are:</p> <ul style="list-style-type: none"> Recorded handled robustly and objectively analysed to look for patterns <p>Information on complaints is reviewed by the leaders of the organisation and improvements are implemented.</p> <p>All customers receive an individual response to their complaint.</p>	<p>← All aspects of the previous column plus:</p> <p>Efforts are made to ensure all complaints are resolved to the satisfaction of the customer.</p> <p>Information on complaints received and their resolution is made available on request. To external stakeholders.</p>	<p>← All aspects of the previous column plus:</p> <p>The company has used ISO10002 during the development of its complaints handling procedures.</p> <p>Information on complaints received and their resolution is published.</p>

Requirements change for 2017

Good Practice change for 2017

3. Commercial Relationship Management

3.4 An SIA Approved Contractor can demonstrate how it manages relationships with consumers.				
3.4.1 Procedures are in place to handle consumer feedback and are implemented.				
		Required Achievement Level		
Consumer complaints are received via the customer and are handled in an ad-hoc manner.	<p>← All aspects of the previous column plus:</p> <p>Adverse consumer feedback is classified and treated as a complaint.</p> <p>Consumer complaints are received via the customer and are handled in a timely manner.</p> <p>A standard response is sent to the customer in reply.</p>	<p>← All aspects of the previous column plus:</p> <p>The customer receives an individual response to the consumer complaint; either in writing or through scheduled meetings.</p>	<p>← All aspects of the previous column plus:</p> <p>Consumer complaints are separated from customer complaints.</p> <p>Both the customer and the consumer receive an individual response to any complaint.</p> <p>Actions are taken based on consumer complaints.</p>	<p>← All aspects of the previous column plus:</p> <p>Consumer complaints are directly solicited and are handled in a timely manner.</p> <p>Consumer complaints are recorded and analysed to look for patterns.</p> <p>Information on complaints is reviewed by the leaders of the organisation and improvements to service delivery procedures are implemented.</p>

3. Commercial Relationship Management

3.4 An SIA Approved Contractor can demonstrate how it manages relationships with consumers.				
3.4.2 An approach to consumer contact is implemented.				
		Required Achievement Level		
<p>Consumer contact is made during the delivery of the service to the customer.</p> <p>Front line staff are given instructions on how to deal effectively with the consumer.</p>	<p>← All aspects of the previous column plus:</p> <p>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.</p> <p>Front line staff are given instructions on how to deal effectively with the consumer.</p>	<p>← All aspects of the previous column plus:</p> <p>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.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation invites feedback directly from the consumer.</p> <p>All staff are given ongoing instructions on the correct way to deal effectively with the consumer.</p> <p>There are procedures in place to monitor staff performance to ensure compliance with instructions.</p>	<p>← All aspects of the previous column plus:</p> <p>Consumer opinion of the organisation is valued.</p> <p>The organisation actively gathers information from a number of sources regarding the consumer's view of them.</p> <p>The organisation actively communicates with the consumer to promote a positive image of itself and the sector/s in which it operates.</p>

Requirements change for 2017

4. Financial Management

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

4.1 An SIA Approved Contractor can demonstrate that it has suitable financial resources to manage its financial obligations.					
4.1.1 Two years accounts can be presented and/or the availability of funding for the achievement of the plan for the business can be demonstrated					
		Required Achievement Level			
Requirements change for 2017	<p>Organisations operating for four or more years:</p> <p>The organisation has at least the last two years annual accounts and confirmation statements available and can demonstrate it has the funding available to achieve its plan for the business.</p> <p>Organisations operating for under four years:</p> <p>The organisation has annual accounts available for the number of years it has been in business and can demonstrate it has the funding available to achieve its plan for the business.</p> <p>Newly created organisations:</p> <p>The organisation can demonstrate it has the funding available to achieve its plan for the business.</p>	<p>← All aspects of the previous column plus:</p> <p>There is a clear link between the financial plans for the business and related activity such as marketing, service delivery and business improvement.</p> <p>The organisation has financial forecasts/projections for key aspects of the business.</p> <p>There are no outstanding county court judgements or Scottish Decrees against the organisation or its directors or people with significant control.</p> <p>Where required, the organisation submits annual accounts and confirmation statement to Companies House within the specified time limits.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation has financial forecasts/projections for all aspects of the business.</p> <p>There is clear information about how the organisations finances are managed.</p> <p>The organisation is aware of its credit rating and understands how this has been generated. This is commensurate with its plans for the business.</p> <p>The organisation maintains a recording system identifying and verifying all income streams.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation makes its staff aware of relevant financial aspects, including the financial performance of the organisation.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation enters into 'open book' approach with customers in relation to its finances.</p> <p>The organisation publishes its accounts.</p> <p>The organisation has its accounts independently audited.</p> <p>The organisation has its accounts and financial statements audited by an independent certified public accountant.</p>

4. Financial Management

Requirements change for 2017

4.2 An SIA Approved Contractor can demonstrate strong financial processes to safeguard the interests of its stakeholders.				
4.2.1 Clear and effective management of the payroll can be evidenced.				
		Required Achievement Level		
<p>The organisation uses a documented cash payment approach to its payroll management.</p> <p>Payroll is managed to legislative standards.</p> <p>Tax codes are applied in a timely manner.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff are paid through a PAYE compliant system.</p> <p>Payroll is managed to legislative standards.</p> <p>Tax codes are checked and correctly applied in a timely manner ensuring HMRC guidance has been followed.</p> <p>Month-end and year-end procedures are run within deadlines.</p> <p>The organisation complies with all HMRC guidance including RTI and the Income Tax (Earnings and Pensions) Act 2003 (ITEPA) when defining roles as contract of service (employment) or contract for services (self-employment) where the organisation acts as an Intermediary quarterly returns are submitted to HMRC.</p>	<p>← All aspects of the previous column plus:</p> <p>There is a direct link between the hours worked and the wages paid.</p> <p>This also applies where staff are paid by others e.g. a factoring company, an agency, or sub-contractor.</p> <p>Payments to staff are made on time within the contractual payment cycle. e.g. Where payments are made to labour providers/agencies who then pay individuals. The business should undertake due diligence to ensure individuals are paid within an agreed period</p> <p>All queries relating to payroll are handled effectively and lessons learned are fed back in to improved procedures.</p> <p>There is clear information for staff on their pay, deductions and the payroll system in use.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff are paid through an automated payroll system.</p>	<p>← All aspects of the previous column plus:</p> <p>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.</p> <p>The organisation makes efforts to ensure that differences in salary are determined by an objective assessment of roles, responsibilities and performance.</p>

4. Financial Management

4.2 An SIA Approved Contractor can demonstrate strong financial processes to safeguard the interests of its stakeholders.				
4.2.2 Effective financial management procedures are implemented (i.e. there are sound fiscal controls in place).				
		Required Achievement Level		
<p>Financial resources and liabilities are managed and controlled through audited or certified annual accounts.</p> <p>These processes ensure the use of financial resources to support the plan for the business.</p>	<p>← All aspects of the previous column plus:</p> <p>Financial resources and liabilities are also managed and controlled through e.g.:</p> <ul style="list-style-type: none"> • sales ledger • purchase ledger • cash flow and expenses 	<p>← All aspects of the previous column plus:</p> <p>Financial resources and liabilities are also managed and controlled through:</p> <ul style="list-style-type: none"> • risk management including contingency arrangements such as advanced or staged payments, or utilising the services of a factoring company. • asset management 	<p>← All aspects of the previous column plus:</p> <p>Financial plans are reviewed regularly to ensure relevance and viability and include areas for cost savings.</p> <p>Performance indicators are in place and are regularly reviewed.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation makes regular use of available financial benchmarking data to analyse its financial performance.</p>

4. Financial Management

4.2 An SIA Approved Contractor can demonstrate that they have strong financial processes to safeguard the interests of their stakeholders.				
4.2.3 A clear 'fit and proper' management structure with defined and understood authority levels is in place.				
	Required Achievement Level			
<p style="color: red; transform: rotate(-90deg); font-weight: bold;">Requirements change for 2017</p> <p>All directors, partners, people with significant control or any Sole Trader must:</p> <ul style="list-style-type: none"> • 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. 	<p>← All aspects of the previous column plus:</p> <p style="color: red;">The accountability and responsibilities of each director, partner or people with significant control is clear.</p> <p>Limited companies meet statutory requirements and file necessary changes to Companies House within the specified time period.</p> <p>There is a clearly defined and communicated management structure, including any links to parent organisation, subsidiaries, groups and franchises.</p>	<p>← All aspects of the previous column plus:</p> <p>All authority levels are clear .</p> <p style="color: red;">Staff knowledge of the management structure is checked as part of staff feedback mechanisms.</p> <p style="color: red;">Where relevant customers knowledge of the management structure is checked as part of customer feedback mechanisms.</p> <p style="color: red;">Links to subsidiaries/parent companies and group structures are explained on company websites.</p>	<p>← All aspects of the previous column plus:</p> <p style="color: green;">Representatives of the business are named on the company website and promotional material (where relevant)</p> <p style="color: green;">Authority levels have been defined and are understood as required to ensure the smooth running of the organisation.</p>	

Good Practice change for 2017

4. Financial Management

4.3 An SIA Approved Contractor can demonstrate that it carries the required business insurance.				
4.3.1 There is sufficient insurance cover to meet contractual requirements.				
	Required Achievement Level			
<p>The organisation has contractual insurance that:</p> <ul style="list-style-type: none"> covers the annual value of the contracts is appropriate in content subcontractors (companies or individuals) meet the organisation's own insurance requirements. <p>The company ensures all hazardous activities undertaken are disclosed to and agreed by insurance underwriters e.g.</p> <ul style="list-style-type: none"> Work offshore Work airside Work on or alongside railway tracks Work at height Work at nuclear, chemical, oil or gas sites 	<p>← All aspects of the previous column plus:</p> <p>The organisation also has the correct insurance cover, appropriate to its size and operations , where appropriate:</p> <ul style="list-style-type: none"> £5 million for public liability £5 million for employer liability efficacy /inefficacy vehicles security dogs use of Licence Dispensation Notices wrongful arrest fidelity bonding loss of keys/consequential loss of keys financial loss either including or excluding products (or both) terrorism cover deliberate/criminal acts of staff (which are accidental on the part of the company) property within the custody, possession or control for the purpose of the service provided design instruction/advice in connection with supplied services <p>Sub-contractors are are covered under the organisations own insurance cover where they do not have their own.</p> <p>The business's insurance costs are not passed onto staff.</p>	<p>← All aspects of the previous column plus:</p> <p>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.</p>	<p>← All aspects of the previous column plus:</p> <p>The business has identified the limitations of its insurance cover and has undertaken suitable actions to mitigate, reduce or transfer the resultant risks.</p>	<p>← All aspects of the previous column plus:</p> <p>The business offers critical illness cover to all staff.</p>

Requirements change for 2017

Good Practice change for 2017

4. Financial Management

Requirements change for 2017


4.4 An SIA Approved Contractor can demonstrate that it understands the market place and has financial plans to meet its strategic direction.				
4.4.1 Effective analysis of the market place in which the organisation operates is conducted.				
	Required Achievement Level			
The organisation is aware of developments in the market place in which it operates.	<p>← All aspects of the previous column plus:</p> <p>The organisation is aware of and understands developments in its market place</p> <p>It uses this information to</p> <ul style="list-style-type: none"> • plan • make financial decisions 	<p>← All aspects of the previous column plus:</p> <p>The organisation actively gathers and uses information about its market.</p> <p>The organisation understands and monitors its direct competitors.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation actively gathers and uses information about the market it may want to enter in the future.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation makes use of SIA ACS benchmark scores to compare its performance and to inform marketing activity.</p>

5. Resources

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

5.1 An SIA Approved Contractor can demonstrate that it has effective management information systems for all aspects of its business with appropriate back-ups and contingencies.				
5.1.1 Information key to the business is delivered in an effective manner to staff and other stakeholders				
	Required Achievement Level			
Requirements change for 2017	<p>Information is produced and delivered in an ad-hoc manner as and when the need arises.</p> <p>← All aspects of the previous column plus: The key service delivery information is delivered in an effective and timely manner to staff and other stakeholders.</p>	<p>← All aspects of the previous column plus: Key information relevant to all areas of the business has been identified. All information is produced on a regular basis in line with organisational requirements.</p>	<p>← All aspects of the previous column plus: Key information is reviewed by relevant staff and other interested parties. 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.</p>	

5. Resources

5.1 An SIA Approved Contractor can demonstrate that it has effective management information systems for all aspects of its business with appropriate back-ups and contingencies.				
5.1.2 Relevant versions of documents are available at the point of use.				
	Required Achievement Level			
<p>Document version control is applied in an ad-hoc manner.</p> <p>Not all of the most up to date documents are available at the point of use.</p>	<p>← All aspects of the previous column plus:</p> <p>Document version control is applied to all service delivery documents.</p> <p>The most up to date versions of applicable documents are available at the point of use.</p>	<p>← All aspects of the previous column plus:</p> <p>Document version control is applied effectively to all key documents.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff have the opportunity to suggest improvements to document handling.</p>	

Requirements change for 2017

Good Practice change for 2017

5. Resources

5.1 An SIA Approved Contractor can demonstrate that it has effective management information systems for all aspects of its business with appropriate back-ups and contingencies.					
5.1.3 Adherence to the Data Protection Act 1998 is apparent.					
	Required Achievement Level				
Requirements change for 2017	<p>Compliance with the Data Protection Act 1998 is evident in all aspects of the organisation's business, including notification to the Information Commissioner where required.</p> <p>Where applicable:</p> <ul style="list-style-type: none"> The scope of ICO registration must include the purpose of SIA licence 'after processing'. 	<p>← All aspects of the previous column plus:</p> <p>All staff are made aware of their individual responsibilities for data protection compliance,</p> <p>All staff receive training outlining their individual and organisational responsibilities for data protection compliance.</p> <p>Refresher training is conducted where appropriate.</p> <p>There are procedures in place to monitor staff awareness of their own and the organisation's responsibilities for data protection.</p> <p>Where applicable the organisation:</p> <ul style="list-style-type: none"> complies with its obligations under the 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 	<p>← All aspects of the previous column plus:</p> <p>The organisation conducts a risk assessment against the Data Protection Act and high risk areas have additional controls.</p>	<p>← All aspects of the previous column plus:</p> <p>Compliance with the data protection act is audited with ICO guidance or through a recognised compliance assessment.</p>	Good Practice change for 2017

5. Resources

5.1 An SIA Approved Contractor can demonstrate that it has effective management information systems for all aspects of its business with appropriate back-ups and contingencies.				
5.1.4 Personnel records and other key information are maintained effectively				
	Required Achievement Level			
Personnel records and other key information is handled and stored in a way that is consistent with legal requirements.	<p>← All aspects of the previous column plus:</p> <p>There are procedures relating to the maintenance of personnel records and other key information that reflect current legal requirements.</p> <p>The procedures are implemented for all service delivery data and information, personnel and financial records.</p>	<p>← All aspects of the previous column plus:</p> <p>The procedures are followed for all records.</p> <p>Where applicable retain a copy of all identity documents used to verify the SIA Licence Applicant's identity in the format specified by the SIA and to the security standard specified in the LM Manual for 7 years following a Licence Applicant leaving the Approved Contractor's business</p>	<p>← All aspects of the previous column plus:</p> <p>Staff are given the opportunity to review and update their records.</p>	


Requirements change for 2017

Good Practice change for 2017

5. Resources

5.2 An SIA Approved Contractor can demonstrate that it has the required premises, procedures and equipment to conduct business effectively.					
5.2.2 Lease or ownership papers are appropriate to the business premises, providing administrative and any operational centres that are fit for purpose					
	Required Achievement Level				
Requirements change for 2017	<p>Suitable accommodation is fit for the business purpose and secure. The working environment has been assessed for the business needs and is properly managed. Factors considered include:</p> <ul style="list-style-type: none"> • Adequate lighting and sanitary facilities • Workstation assessments • Adequate storage and waste disposal • Heating and ventilation • Restroom • Fire and Emergency equipment • General cleaning and housekeeping 	<p>← All aspects of the previous column plus:</p> <p>The premises occupied are either owned or leased by the business, consistent with the business plan.</p> <p>The correspondence and any promotional material complies with company law.</p> <p>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.</p>	<p>← All aspects of the previous column plus:</p> <p>Feedback is sought from staff regarding the suitability of the working environment and any improvements made by the organisation.</p>		

5. Resources

5.2 An SIA Approved Contractor can demonstrate that it has the required premises, procedures and equipment to conduct business effectively.				
5.2.3 Control rooms / response rooms are designed, fitted and equipped in a manner appropriate to purpose.				
	 Required Achievement Level			
<p>The control rooms / response rooms have limited communication systems and processes in place.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation has determined the design, construction, layout and equipment requirements for their control rooms / response rooms. The level of design, construction, layout and equipment is directly related to risks associated with customer contracts.</p> <p>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.</p> <p>Where the control rooms/response rooms are outsourced, the organisation ensures that the control rooms/response rooms are fit for purpose.</p>	<p>← All aspects of the previous column plus:</p> <p>Improvements to design, construction, layout and equipment are implemented where new or amended contracts increase the risk to physical security, safety and integrity of staff and/or to customer records and property</p>	<p>← All aspects of the previous column plus:</p> <p>The control rooms/ response rooms are designed in accordance with good ergonomic practice. The following should be factored into the design:</p> <ul style="list-style-type: none"> • Architectural factors • Design and layout of individual work stations • Arrangement of monitors • Design of control panels • Seating • Environmental factors 	<p>← All aspects of the previous column plus:</p> <p>The structure of the control rooms/ response rooms can withstand possible major hazard events. Such as:</p> <ul style="list-style-type: none"> • Vapour Cloud Explosions (VCEs) • Boiling Liquid Expanding Vapour Explosions (BLEVEs) • Pressure bursts • Exothermic reactions • Toxic gas releases <p>Fires, including pool fires, jet fires, flash fires and fire balls.</p>

Requirements change for 2017

5. Resources

5.2 An SIA Approved Contractor can demonstrate that it has the required premises, procedures and equipment to conduct business effectively.				
5.2.4 Equipment owned is recorded, adequately maintained and appropriate for its purpose.				
		Required Achievement Level		
<p style="color: red; transform: rotate(-90deg); transform-origin: left top;">Requirements change for 2017</p> <p>The equipment used is poorly maintained and/or unsuitable for the purpose to which it has been allocated.</p>	<p>← All aspects of the previous column plus:</p> <p>Some of the equipment used is appropriate for the purpose to which it has been allocated.</p> <p>There is no record of equipment owned and issued.</p> <p>Missing equipment may go undetected.</p> <p>Maintenance occurs on an ad-hoc basis.</p>	<p>← All aspects of the previous column plus:</p> <p>All equipment is appropriate for the purpose to which it has been allocated.</p> <p>Equipment relating to service delivery is recorded and regular checks are conducted to ensure the records are complete and up to date.</p> <p style="background-color: yellow;">Where applicable equipment used for licence application process meets requirements (where specified) & are fit for purpose.</p> <p>There is a schedule for the maintenance of all equipment that is applied to equipment used for service delivery.</p>	<p>← All aspects of the previous column plus:</p> <p>There is a comprehensive equipment register which covers all the equipment owned by the organisation.</p> <p>Regular checks are conducted to ensure the register is complete and up to date.</p> <p>There is a schedule for the maintenance of all equipment that is implemented and up to date.</p>	

5. Resources

Requirements change for 2017

5.2 An SIA Approved Contractor can demonstrate that it has the required premises, procedures and equipment to conduct business effectively.				
5.2.5 Service delivery to customers and safety for staff are improved by investment in technology.				
	Required Achievement Level			
The organisation does not invest in any technology to improve or enhance service delivery to its customers or staff safety.	<p>← All aspects of the previous column plus:</p> <p>The organisation proposes appropriate opportunities, with suppliers and/or customers, in the use of technology to improve service delivery and safety standards.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation evaluates new and emerging technology to further enhance service delivery to customers and/or staff safety.</p>		

6. People

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

6.1 An SIA Approved Contractor can demonstrate that it manages its staff through clear policies and procedures.				
6.1.1 There is an effective recruitment policy.				
Required Achievement Level				
Requirements change for 2017	<p>The organisation works to BS 7858 or appropriate industry sector equivalent.</p> <p>Interviews for all potential recruits are conducted. Interview notes are documented and retained for one year.</p> <p>Recruitment records are maintained for all staff.</p> <p>Re-screening makes use of screening records from another Approved Contractor where these are available.</p> <p>Where applicable the organisation ensures that all Key Staff processing licensing applications meet the Key Staff Criteria and are security screened to BS7858.</p> <p>The requirements for each role within the organisation have been defined. These include such information as experience, skills and qualifications required.</p> <p>Private Security Industry Act 2001 licensing requirements are adhered to.</p> <p>Staff have the legal right to work in the UK.</p> <p>The recruitment policy meets employment law and defines how screening of staff is carried out.</p> <p>The company regularly checks the validity of SIA licences and right to work in the UK.</p> <p>The organisation ensures that all work permit/visa conditions are complied with.</p>	<p>Defined job requirements are used to:</p> <ul style="list-style-type: none"> place an appropriately worded advertisement that takes into account relevant legal requirements Feedback is provided to interview candidates who fail to obtain a role <p>Where applicable the confirmation of identify and address include verification of original documents required when submitting an application for an SIA licence. i.e.</p> <p>Two identity documents from group A. At least one document must show your current address and at least one document must show your date of birth.</p> <p>Or</p> <p>One identity document from group A and two documents from group B. At least one document must show your current address and at least one document must show your date of birth.</p>	<p>← All aspects of the previous column plus:</p> <p>Additional background checks with written responses covering ten years employment history are completed within 16 weeks of commencement of employment.</p> <p>Re-vetting is conducted, where applicable, prior to:</p> <ul style="list-style-type: none"> promotion transfer to high-risk site <p>Any home visit for the purpose of vetting is subject to signed written consent from the applicant.</p> <p>The organisation works with re-settlement and/or employment organisations to help the unemployed back into work.</p>	<p>← All aspects of the previous column plus:</p> <p>A drugs and alcohol policy exists which</p> <ul style="list-style-type: none"> outlines the aims and purpose of the policy explains who is covered by the policy, and clearly sets out the organisation's rules in relation to drug and alcohol use <p>The organisation offers a guaranteed interview scheme to disabled candidates.</p> <p>The organisation holds Investors in People (or equivalent) accreditation.</p>

6. People

6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.				
6.1.2 Staff records are maintained.				
		Required Achievement Level		
<p>Staff records contain personal and bank details.</p> <p>Staff records are occasionally checked to ensure the information contained is up to date.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff records are maintained and checked for all staff.</p> <p>They contain up to date information relating to:</p> <ul style="list-style-type: none"> • personal details such as name, address • bank details • PAYE information • vetting information where relevant for the role • PSIA licensing information where required such as licence number, expiry date <p>There are procedures in place to ensure the records are up to date.</p> <p>Staff understand what information is held and how it is stored.</p>	<p>← All aspects of the previous column plus:</p> <p>The records also contain:</p> <ul style="list-style-type: none"> • up to date information relating to complete employment history as obtained during the recruitment process training records • disciplinary and grievance information where relevant <p>The company follows HMRC guidance regarding due diligence record keeping for the use of labour providers and self-employed.</p>	<p>← All aspects of the previous column plus:</p> <p>The records also contain up to date information relating to:</p> <ul style="list-style-type: none"> • records of discussions relating to performance 	

Requirements change for 2017

6. People

6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.				
6.1.3 A grievance procedure is in place which is implemented and communicated.				
	Required Achievement Level			
The organisation applies the default statutory procedure.	<p>← All aspects of the previous column plus:</p> <p>There is a company specific grievance procedure that complies with the minimum legal requirements. Staff are given a copy of the procedure when they join the organisation.</p> <p>The procedure is followed</p> <p>It is clearly written and easily understandable by all staff.</p>	<p>← All aspects of the previous column plus:</p> <p>The defined grievance procedure goes beyond the minimum legal requirement.</p> <p>For example using independent conciliation as an alternative way of resolving disputes</p>		

6. People

6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.					
6.1.4 Terms and conditions of employment exist which are implemented and communicated.					
	Required Achievement Level				
Requirements change for 2017	<p>Terms and conditions of employment are issued verbally.</p> <p>All staff are given a written copy within eight weeks of employment starting.</p> <p>Terms and conditions state:</p> <ul style="list-style-type: none"> • 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 • details of notice and termination period • disciplinary, grievance and appeals procedures • place of work or notification that place of work varies 	<p>← All aspects of the previous column plus:</p> <p>Terms and conditions of employment have been defined for each role.</p> <p>Terms and Conditions of employment also include:</p> <ul style="list-style-type: none"> • 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 	<p>← All aspects of the previous column plus:</p> <p>Terms and Conditions are revised when changes to employment conditions are made.</p> <p>Changes to terms and conditions are discussed with staff prior to implementation.</p>	<p>← All aspects of the previous column plus:</p> <p>Terms and Conditions of employment are issued to all staff within four weeks of employment starting.</p>	<p>← All aspects of the previous column plus:</p> <p>Terms and Conditions of employment are issued to all staff before or as employment starts.</p>

6. People

6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.				
6.1.5 A disciplinary process is in place which is implemented and communicated.				
	Required Achievement Level			
The organisation would apply the default statutory procedure.	<p>← All aspects of the previous column plus:</p> <p>There is a company specific disciplinary procedure that complies with the minimum legal requirements.</p> <p>Staff are given a copy when they join the organisation.</p> <p>The procedure is followed</p> <p>It is clearly written and easily understandable by all staff.</p>	<p>← All aspects of the previous column plus:</p> <p>The defined disciplinary procedure goes beyond the minimum legal requirements.</p>		

6. People

6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.					
6.1.6 A policy exists covering 'Transfer of Undertakings' which is implemented and communicated					
	Required Achievement Level				
Requirements change for 2017	<p>The organisation is aware of its obligations under TUPE and there are procedures in place to manage a 'Transfer of Undertakings'.</p> <p>The organisation cooperates fully in the exchange of information required for a smooth transfer, TUPE information is exchanged in a timely fashion.</p> <p>The organisation can demonstrate how both inwards and outward transfers could be handled effectively.</p>	<p>← All aspects of the previous column plus:</p> <p>The procedures ensure:</p> <ul style="list-style-type: none"> ▪ assessment of the training needs of the staff ▪ induction into company ▪ 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 	<p>← All aspects of the previous column plus:</p> <p>The procedures contain details of how the staff will be integrated into the organisation where practicable. All staff files are assessed to ensure full compatibility with existing staff records.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff transferred into the business under TUPE are offered tailored information and support to help them settle in.</p>	Good Practice change for 2017

6. People

6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.				
6.1.7 Roles and responsibilities are defined for all staff.				
	Required Achievement Level			
<p>Roles and responsibilities have been defined for all staff (licensed and unlicensed). These have been communicated to and are understood by all staff.</p>	<p>← All aspects of the previous column plus: Roles and responsibilities are reviewed regularly to ensure and maintain relevance to the business. There are procedures in place to monitor ongoing awareness of roles and responsibilities. They are understood throughout the whole organisation.</p>			

Requirements change for 2017

Good Practice change for 2017

6. People

6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.				
6.1.8 A defined policy relating to equality and diversity exists which is implemented and communicated.				
	Required Achievement Level			
The organisation is aware of its responsibilities under 'Equal Opportunities' but has not developed an approach to managing 'equality and diversity' requirements.	<p>← All aspects of the previous column plus:</p> <p>There is a defined equality and diversity policy that complies with the minimum legal requirements. Staff are given a copy of the policy when they join the organisation. It is clearly written and understandable by all staff.</p> <p>The policy is implemented.</p>	<p>← All aspects of the previous column plus:</p> <p>The defined equality and diversity policy goes beyond the minimum statutory legal requirement. The organisation actively manages it's 'equality and diversity' policy and acts appropriately when staff are found to be working outside of it.</p>	<p>← All aspects of the previous column plus:</p> <p>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.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation undertakes equal pay audits and adjusts pay accordingly. The organisation can demonstrate its commitment to improving diversity and equality within the security industry,</p>

Requirements change for 2017

Good Practice change for 2017

6. People

Requirements change for 2017

6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.				
6.1.9 A process for obtaining staff opinions on the organisation, their job and conditions exists and is implemented.				
	Required Achievement Level			
Individuals have the opportunity to express their opinion.	<p>← All aspects of the previous column plus:</p> <p>Issues raised are acted upon where appropriate.</p> <p>The organisation monitors its progress in improving the satisfaction of its staff.</p> <p>Opinions gathered are recorded.</p>	<p>← All aspects of the previous column plus:</p> <p>All staff are asked their opinions about the organisation, their job or working conditions on a regular basis.</p> <p>Key performance measures exist.</p> <p>Improvement plans are in place and some are implemented.</p>	<p>← All aspects of the previous column plus:</p> <p>Key performance measures exist with targets.</p> <p>Plans for improvement are developed and implemented based on results achieved.</p> <p>Delivery of improvements is reflected in improved staff retention.</p>	

Good Practice change for 2017

6. People

6.2 An SIA Approved Contractor can demonstrate that it trains and develops its people to deliver customer satisfaction and added value, to an agreed standard.				
6.2.1 Staff training, development and improvement policy and procedures are in place, implemented and communicated.				
	Required Achievement Level			
<p>PSIA licensing training is the only training that takes place. There is no continuing professional development of staff.</p>	<p>← All aspects of the previous column plus:</p> <p>There is a training development and improvements policy with supporting procedures in place that covers company and assignment-specific training as well as training required for an SIA licence.</p> <p>They are implemented for staff requiring an SIA licence.</p> <p>These staff are aware of the policies and procedures.</p> <p>They apply to all staff and are fully implemented.</p> <p>All staff are aware of the policies and procedures.</p> <p>There are procedures in place to monitor extent of implementation and staff awareness.</p> <p>Ensures that all staff undertake any training specified by the SIA within a reasonable time period as stipulated by the SIA.</p> <p>Where applicable ensures that all Key Staff undertake any training specified by the SIA within a reasonable time period as stipulated by the SIA.</p>	<p>← All aspects of the previous column plus:</p> <p>The training and development policy and procedures are regularly reviewed for relevance and completeness.</p> <p>Managers and supervisors are supportive of releasing frontline licensable staff for required training.</p> <p>All internal and external trainers are suitably qualified.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation sets aside a specific budget for the training and development of frontline licensable staff.</p> <p>Customers and/or other stakeholders are consulted on the content of training.</p>	

Requirements change for 2017

Good Practice change for 2017


6. People

6.2 An SIA Approved Contractor can demonstrate that it trains and develops its people to deliver customer satisfaction and added value, to an agreed standard.				
6.2.2 An induction pack/training including an introduction to policies and procedures exists.				
	Required Achievement Level			
<p>An induction pack is available.</p> <p>The induction pack covers basic information only including, for licensable staff where relevant:</p> <ul style="list-style-type: none"> • adherence to terms and conditions of licence or LDN • the wearing or carrying of identification • the requirement to report new criminal convictions and cautions 	<p>← All aspects of the previous column plus:</p> <p>An induction pack is given to all staff on the day employment commences. The induction pack covers the organisation's guidelines on:</p> <ul style="list-style-type: none"> ▪ disciplinary procedures ▪ grievance procedures ▪ incident reporting ▪ uniform ▪ personal appearance ▪ health and safety ▪ equality and diversity ▪ general conduct expected ▪ drugs and alcohol policy where applicable ▪ customer confidentiality ▪ management structure 	<p>← All aspects of the previous column plus:</p> <p>The induction pack also covers the organisation's guidelines on:</p> <ul style="list-style-type: none"> ▪ requirements of the Data Protection Act 1998 ▪ key company contacts ▪ the right to union representation 	<p>← All aspects of the previous column plus:</p> <p>This is supported by face to face induction training.</p> <p>The additional information/training covers:</p> <ul style="list-style-type: none"> ▪ the history of the company ▪ the approach to business of the organisation ▪ feedback mechanisms for both staff and customers ▪ an overview of customer base <p>Understanding of induction material is checked.</p>	<p>← All aspects of the previous column plus:</p> <p>All levels of staff are made aware of the opportunity to pursue relevant recognised qualifications e.g. NVQ, Management, etc.</p> <p>Senior management are personally involved in the induction process.</p>

6. People

6.2 An SIA Approved Contractor can demonstrate that it trains and develops its people to deliver customer satisfaction and added value, to an agreed standard.				
6.2.3 All staff are trained to the required standard				
	Required Achievement Level			
Requirements change for 2017	<p>Staff who require an SIA licence have received and passed the necessary training as defined by the relevant training specifications.</p> <p>← All aspects of the previous column plus: All staff requiring an SIA front-line licence are given appropriate additional job training. All other staff are given adequate job training. Training is given on the use of any equipment that is required to fulfil each role. Subject specific modules relating to a role are also given.</p>	<p>← All aspects of the previous column plus: Organisational training needs are effectively assessed. The organisation has an annual refresher training programme. All staff receive at least some training annually.</p>	<p>← All aspects of the previous column plus: The effectiveness of all training is evaluated on an ongoing basis.</p>	<p>← All aspects of the previous column plus: 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.</p>

6. People

6.2 An SIA Approved Contractor can demonstrate that it trains and develops its people to deliver customer satisfaction and added value, to an agreed standard.				
6.2.4 The organisation ensures that minimum competence of staff is maintained.				
		Required Achievement Level		
<p style="color: green;">The organisation checks that individuals hold the necessary licence-linked qualifications.</p>	<p>← All aspects of the previous column plus:</p> <p>Upon recruitment of frontline licensable staff, the organisation conducts a skills assessment to identify their immediate training needs.</p> <p>Where new frontline licensable staff are taken on with a pre-existing licence-linked qualification, the organisation tests the individual's competence in the licence-linked training.</p> <p style="color: red;">All testing is documented.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation ensures that refresher training on the licence linked qualification is given to frontline staff at least annually.</p> <p style="color: green;">The organisation tests frontline licensable staff knowledge of the relevant licence-linked training at least annually.</p>	<p>← All aspects of the previous column plus:</p> <p>All relevant managers have undertaken licence linked training (or equivalent) in at least one sector <u>or</u> a recognised security management qualification.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation contributes to the development of the core competencies/national occupational standards for the licensable sectors within which it operates.</p>

Requirements change for 2017

Good Practice change for 2017

6. People

6.2 An SIA Approved Contractor can demonstrate that it trains and develops its people to deliver customer satisfaction and added value, to an agreed standard.				
6.2.5 Assignment specific training/induction/information is given.				
		Required Achievement Level		
Assignment specific information is given verbally.	<p>← All aspects of the previous column plus:</p> <p>Assignment specific information is given verbally and is supported by documented assignment instructions.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff new to an assignment location are kept under supervision for the appropriate duration of their on-assignment induction.</p> <p>Where shifts are worked the supervision encompasses a number of shifts.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff are tested on their knowledge of their assignment instructions.</p> <p>Assignment site training /induction/information validated by the contractor e.g. site audits.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff have the opportunity to give feedback on the quality and relevance of their assignment instructions.</p>

Good Practice change for 2017

6. People

6.2 An SIA Approved Contractor can demonstrate that it trains and develops its people to deliver customer satisfaction and added value, to an agreed standard.				
6.2.6 All staff have training plans and records.				
	Required Achievement Level			
Training plans or records exist for some members of staff.	<p>← All aspects of the previous column plus:</p> <p>All staff have training records that show:</p> <ul style="list-style-type: none"> ▪ programme of study completed ▪ dates when training was conducted ▪ details of the training provider and/or trainers involved ▪ certificate expiry dates and these are monitored where relevant 	<p>← All aspects of the previous column plus:</p> <p>Where appropriate, staff have professional/vocational training plans that show:</p> <ul style="list-style-type: none"> ▪ details of planned training ▪ planned completion date ▪ a named person who is responsible for ensuring the training takes place 	<p>← All aspects of the previous column plus:</p> <p>Records of all personal development needs and training undertaken are maintained.</p>	<p>← All aspects of the previous column plus:</p> <p>Training plans and records are regularly reviewed with the staff to ensure they are accurate and up to date.</p>

Requirements change for 2017

6. People

6.2 An SIA Approved Contractor can demonstrate that it trains and develops its people to deliver customer satisfaction and added value, to an agreed standard.				
6.2.7 All supervisors are trained to the required standard for their role.				
		Required Achievement Level		
No additional training is given to any personnel being appointed to or holding supervisory positions.	<p>← All aspects of the previous column plus:</p> <p>Supervisors are encouraged to improve their knowledge of additional topics that would improve their leadership skills.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff in supervisory positions are given specific training relating to the skills required for leadership, for example:</p> <ul style="list-style-type: none"> ▪ the role of a supervisor ▪ team behaviour ▪ leadership ▪ decision making ▪ problem-solving ▪ communication skills ▪ performance review ▪ time management ▪ customer service 	<p>← All aspects of the previous column plus:</p> <p>In addition supervisors receive specific training in additional topics that would improve and enhance their leadership skills.</p> <p>Supervisors undertake recognised training and qualifications.</p> <p>Training needs are monitored, reviewed and recorded.</p>	<p>← All aspects of the previous column plus:</p> <p>Provision is made for mentors to support supervisors in their leadership role.</p> <p>The organisation has a leadership development programme or equivalent, to bring talent through the ranks.</p>

Requirements change for 2017

6. People

6.2 An SIA Approved Contractor can demonstrate that it trains and develops its people to deliver customer satisfaction and added value, to an agreed standard.				
6.2.8 Customer feedback is obtained for individuals working with clients.				
	Required Achievement Level ←			
<p>Customer comments on performance are fed back to the relevant staff.</p> <p>Customer feedback is accepted when offered.</p>	<p>← All aspects of the previous column plus:</p> <p>The feedback, both positive and negative, is presented to the individual in a timely manner.</p> <p>Where necessary remedial action/additional training is implemented.</p>	<p>← All aspects of the previous column plus:</p> <p>Customer feedback is actively solicited on all individuals who have contact with customers and is presented to the individual in a timely manner.</p> <p>It is also included in the annual appraisal process.</p>	<p>← All aspects of the previous column plus:</p> <p>Customer feedback is used to influence pay reviews/bonuses and/or used to formulate training and succession plans</p>	

Requirements change for 2017

Good Practice change for 2017

6. People

6.3 An SIA Approved Contractor can demonstrate that its people are provided with appropriate benefits and welfare arrangements.				
6.3.1 A holiday entitlement policy is implemented and communicated.				
	Required Achievement Level			
<p>There is a holiday policy that entitles all staff to the statutory minimum.</p> <p>Staff who join within the holiday year or who work part-time are entitled to the same holiday entitlement pro-rata.</p> <p>Statutory definitions are used to calculate pro-rata payments.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff are encouraged to use their full entitlement.</p> <p>The organisation encourages fathers to take their full paternity leave.</p> <p>The organisation considers requests for flexible working fairly.</p>	<p>← All aspects of the previous column plus:</p> <p>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.</p>	<p>← All aspects of the previous column plus:</p> <p>Leave entitlement is monitored and staff are told of their remaining entitlement.</p> <p>A carry over policy exists and is communicated to staff.</p> <p>Holiday entitlement exceeds the statutory minimum by at least 5 days.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation has a special leave policy.</p>

Good Practice change for 2017

6. People

6.3 An SIA Approved Contractor can demonstrate that its people are provided with appropriate benefits and welfare arrangements.					
6.3.2 A pensions policy exists which is implemented and communicated.					
	Required Achievement Level				
Requirements change for 2017	<p>There is no workplace pension scheme in place and the organisation is unaware of its responsibilities under auto-enrolment.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation offers a workplace pension scheme (stakeholder or company pension) AND/OR is aware of and preparing for auto-enrolment.</p> <p>Staff are encouraged to seek advice relating to how membership of the scheme and/or auto-enrolment correlates with the level of state pension.</p> <p>The organisation actively communicates with its staff about changes to the state pension, which may affect them.</p> <p style="color: red;">The organisation encourages its staff to plan for their retirement.</p>	<p>← All aspects of the previous column plus:</p> <p>Where not currently required to auto-enrol, the organisation is continuing to provide a workplace pension scheme (company or stakeholder) in advance of their staging date for auto-enrolment.</p> <p>The organisation facilitates the availability of expert advice relating to pension arrangements.</p>	<p>← All aspects of the previous column plus:</p> <p>There is a workplace pension scheme in place to which the employer contributes, at least matching staff contributions. It is open to all staff.</p>	<p>← All aspects of the previous column plus:</p> <p>The employer provides a defined benefit final salary pension scheme to all staff.</p>

6. People

6.3 An SIA Approved Contractor can demonstrate that its people are provided with appropriate benefits and welfare arrangements.					
6.3.3 A health and safety policy and supporting procedures exist and are implemented.					
	Required Achievement Level				
Requirements change for 2017	<p>There is a health and safety policy in place.</p> <p>The policy meets minimum legal requirements.</p> <p>It is available at all locations where the organisations staff are working.</p> <p>All staff are given health and safety training as part of their induction when joining the organisation.</p> <p>Procedures are in place to confirm the safety of staff whilst working at a customer site.</p>	<p>← All aspects of the previous column plus:</p> <p>Lessons learned from the review of incidents lead to changes in practice.</p> <p>All staff are given health and safety training on a regular basis to reinforce the message.</p> <p>Specific and refresher training is given to staff when changing sites.</p> <p>There are procedures for dealing with workplace violence/violent incidents.</p>	<p>← All aspects of the previous column plus:</p> <p>There is a health and safety policy in place that goes beyond minimum legal requirements.</p> <p>It is fully implemented with supporting procedures.</p> <p>Performance reporting goes beyond minimum legal requirements.</p> <p>Performance against all health and safety measures is regularly and frequently monitored and reviewed.</p>	<p>• All aspects of the previous column plus:</p> <p>Additional health and safety awareness courses are regularly undertaken by all staff.</p>	<p>← All aspects of the previous column plus:</p> <p>The policy is recognised as best practice within the industry. The organisation is a member of an appropriate recognised scheme, for example:</p> <ul style="list-style-type: none"> ▪ Safe Contractor ▪ RoSPA ▪ British Safety Council ▪ Community Safety Accreditation Scheme

6. People


6.3 An SIA Approved Contractor can demonstrate that its people are provided with appropriate benefits and welfare arrangements.				
6.3.4 An approach to provision of welfare and benefits is in place.				
	Required Achievement Level			
Requirements change for 2017	<p>The welfare and benefits offered by the organisation meet the legal requirements.</p> <p>Where applicable the organisation does not mandate that any individual must consent to the Approved Contractor acting on their behalf using LM service.</p>	<p>← All aspects of the previous column plus:</p> <p>Appropriate uniforms are supplied and the organisation ensures they are cleaned and renewed.</p> <p>Necessary Personal Protective Equipment (PPE) is provided free of charge.</p> <p>All staff are made aware of the welfare and other benefits package.</p> <p>All staff have regular contact with a supervisor or manager who can address any welfare concerns.</p> <p>Where applicable the organisation does not:</p> <p>Charge any individual an administration fee for submitting their application on their behalf using the LM service, unless otherwise agreed with the SIA by way of an exceptional circumstance request.</p>	<p>← All aspects of the previous column plus:</p> <p>The welfare and benefits offered by the organisation exceed the legal requirements and include at least one of the following:-</p> <ul style="list-style-type: none"> ▪ compassionate leave arrangements ▪ self-certification for periods of sickness up to seven days ▪ payment of training required to obtain an SIA licence ▪ days spent on the training required for an SIA licence are paid <p>Where applicable processing SIA Licence applications via the LM service. This includes the organisation electronically capturing and submitting a suitable passport-style photograph in accordance with the SIA's website.</p>	<p>← All aspects of the previous column plus:</p> <p>The welfare and benefits package also includes:</p> <ul style="list-style-type: none"> ▪ payment of the SIA licence application fee ▪ personal accident cover ▪ sufficient legal cover ▪ counselling service from trained professionals after suffering trauma.

6. People

6.4 An SIA Approved Contractor can demonstrate an appraisal and development system that encourages its staff to improve.				
6.4.1 A process for the appraisal of staff performance is in place and is implemented.				
		Required Achievement Level		
Occasional discussions on staff performance take place.	← All aspects of the previous column plus: Training and development needs are agreed and implemented.	← All aspects of the previous column plus: All staff have at least an annual discussion with a supervisor or manager about their performance. The discussion is based on the views of their immediate supervisor or manager, and these views are supported by appropriate evidence The discussion is two-way and is based on more than a simple tick-list.	← All aspects of the previous column plus: The discussions contain positive feedback and are based on input from the customer and colleagues. Training and development needs are agreed, recorded and implemented.	← All aspects of the previous column plus: Interim discussions are held at least six monthly with an immediate supervisor or manager. All performance discussion is two-way and is documented.

6. People

Requirements change for 2017

6.4 An SIA Approved Contractor can demonstrate an appraisal and development system that encourages its staff to improve themselves.				
6.4.2 Self learning and improvement is encouraged.				
			Required Achievement Level	
Self-learning and improvement are not encouraged or supported.	<p>← All aspects of the previous column plus:</p> <p>Staff are encouraged to undertake relevant/specialist training. Requests from staff are supported where possible.</p>	<p>← All aspects of the previous column plus:</p> <p>Recognised formal qualifications in their chosen relevant disciplines based on national occupational standards are encouraged with all staff. Staff are aware of the opportunities available to them.</p>	<p>← All aspects of the previous column plus:</p> <p>Self-learning and development outside of their chosen relevant disciplines are also encouraged. Assistance with learning activities is offered.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation provides paid time off for all job-related training. The organisation funds the membership of relevant professional bodies and professional certification fees.</p>

6. People

6.4 An SIA Approved Contractor can demonstrate an appraisal and development system that encourages its staff to improve themselves.				
6.4.3 The organisation develops staff especially those with leadership potential.				
	Required Achievement Level			
There are procedures in place to assist in the development of staff.	<p>← All aspects of the previous column plus:</p> <p>Staff who want to develop or who demonstrate leadership potential are identified.</p>	<p>←All aspects of the previous column plus:</p> <p>Staff with potential and who want to develop are identified and given special opportunities to learn about the business from a variety of positions.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff with potential who want to progress are provided with opportunities for appropriate development</p> <p>Staff with leadership potential are mentored and developed by their immediate supervisor /manager.</p>	<p>← All aspects of the previous column plus:</p> <p>The company has an implemented succession plan that is reviewed at least annually</p> <p>Staff with leadership potential are mentored and developed by the senior management team.</p> <p>Special provisions are made in terms of training and recompense to encourage staff to stay with the organisation and take greater responsibility.</p>

6. People

6.5 An SIA Approved Contractor can demonstrate that it meets the requirements of the Working Time Directive.				
6.5.1 The organisation adheres to the Working Time Directive.				
	Required Achievement Level			
Requirements change for 2017	<p>The organisation works within the legal requirements of the Working Time Directive.</p> <p>Staff are not put under pressure to opt out of the restrictions before the employment contract is signed.</p> <p>Shift patterns and the number of hours worked are appropriate to protect the health and safety and ensure the effectiveness of staff.</p>	<p>← All aspects of the previous column plus:</p> <p>Discussions take place where appropriate with customers to encourage shift patterns with shorter hours.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation exceeds the legal requirement of the Working Time Directive through having no contracts that require 56 or 60 hour shift patterns.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation has no contracts requiring shift patterns of more than 48 hours a week.</p>

6. People

Requirements change for 2017

6.6 An SIA Approved Contractor can demonstrate that national minimum and living wage are met.				
6.6.1 Legislation on the national minimum and national living wage and payments to staff is implemented.				
	Required Achievement Level			
The national minimum wage is adhered to.	<p>← All aspects of the previous column plus:</p> <p>The national living wage rates are adhered to or exceeded, for basic take home pay.</p> <p>Overtime payments are not included in the calculation. They are over and above basic take home pay.</p>	<p>←All aspects of the previous column plus:</p> <p>Staff are paid equitably throughout the organisation according to their job role and responsibilities.</p>	<p>← All aspects of the previous column plus:</p> <p>The company benchmarks its wage rate for frontline staff against comparable sectors/firms.</p> <p>Financial records demonstrate transparency on how overheads are built into the charge rate and how wage rates and payment are structured.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation pays all staff at least the living wage.</p>

Good Practice change for 2017

7. Leadership


An SIA Approved Contractor has effective leadership.

Requirements change for 2017

7.1 An SIA Approved Contractor can demonstrate that the leaders have the knowledge and ability to lead from the front.				
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			
Leaders have some knowledge of the legislative framework, working practice and industry standards/codes of practice for the sector.	<p>← All aspects of the previous column plus:</p> <p>Leaders have an appropriate knowledge of the legislative framework, working practice and industry standards/codes of practice for their sector and role within the organisation.</p> <p>They can apply this knowledge to their organisation.</p>	<p>← All aspects of the previous column plus:</p> <p>They 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.</p>	<p>← All aspects of the previous column plus:</p> <p>The senior leaders of the organisation have a recognised qualification in a relevant discipline.</p>	<p>← All aspects of the previous column plus:</p> <p>The senior leaders of the organisation are involved in the review and update of working practices and industry standards/code of practice for their sector.</p>

7. Leadership

Requirements change for 2017

7.1 An SIA Approved Contractor can demonstrate that the leaders have the knowledge and ability to lead from the front.				
7.1.2 Leaders are involved in the development and implementation of relevant policies and procedures.				
	Required Achievement Level			
<p>Leaders review policies and procedures in an ad-hoc manner usually when problems have occurred.</p> <p>Leaders are involved and ensure policies and procedures are implemented in the relevant parts of the organisation.</p>	<p>← All aspects of the previous column plus:</p> <p>Leaders continue to be involved in the regular review of policies and procedures to ensure they remain relevant to the business and effectively implemented.</p>			


7. Leadership

7.1. An SIA Approved Contractor can demonstrate that the leaders have the knowledge and ability to lead from the front.				
7.1.3 Managers and directors responsible for processes and key personnel can demonstrate an understanding of procedures.				
	Required Achievement Level			
<p>The understanding of the organisation's procedures by the managers, directors or people with significant control responsible for processes and key personnel is incomplete.</p> <p>The managers and directors or people with significant control responsible for processes and key personnel understand some of the procedures within their sphere of responsibility.</p>	<p>← All aspects of the previous column plus:</p> <p>All managers and directors or person with significant control responsible for processes and key personnel understand all of the procedures within their sphere of responsibility.</p> <p>They actively ensure they are fully implemented.</p>	<p>← All aspects of the previous column plus:</p> <p>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.</p> <p>They actively ensure they are fully implemented in a manner reflecting the organisations values.</p>		

Requirements change for 2017

Good Practice change for 2015

7. Leadership

7.1. An SIA Approved Contractor can demonstrate that the leaders have the knowledge and ability to lead from the front.				
7.1.4 Leaders review key results and ensure that improvements are planned and implemented.				
	Required Achievement Level			
Leaders review key results in an ad-hoc manner.	<p>← All aspects of the previous column plus:</p> <p>Leaders are involved in the review of key performance results.</p> <p>Leaders are involved in the review of performance in their own area of responsibility.</p> <p>Leaders review results and raise any action plans within their own area of responsibility.</p>	<p>← All aspects of the previous column plus:</p> <p>All leaders are regularly involved in the review of key performance results.</p> <p>These reviews lead to the identification and prioritisation of improvement plans.</p> <p>All leaders are actively involved in ensuring that improvement plans are implemented.</p>		

Requirements change for 2017

Good Practice change for 2017

7. Leadership

7.2 An SIA Approved Contractor can demonstrate that the leaders review and 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.				
	Required Achievement Level			
Requirements change for 2017	<p>Feedback from customers and staff on leadership skills is noted. Feedback from customers and staff on leadership skills is acted upon when it is received.</p>	<p>← All aspects of the previous column plus: Leaders regularly seek feedback from customers and staff on their strengths and development opportunities in the area of leadership. The areas for improvement are noted and actions are taken to change behaviour.</p>	<p>← All aspects of the previous column plus: Improvement plans exist to address development opportunities. Improvement plans detail specific actions to be taken within agreed timescales.</p>	<p>← All aspects of the previous column plus: All leaders also regularly seek feedback on their leadership strengths and development opportunities from other stakeholders such as consumers, police and other authorities. The feedback is reviewed and improvement plans are created to address the development opportunities. Improvement plans are monitored for progress.</p>

7. Leadership

7.3 An SIA Approved Contractor can demonstrate that the leaders develop a culture of openness.				
7.3.1 Leaders have developed a set of high values or codes of ethics that are implemented throughout the organisation.				
		Required Achievement Level		
<p>Leaders have not developed a set of values or a code of ethics by which the organisation is managed and led.</p>	<p>← All aspects of the previous column plus:</p> <p>Leaders have developed a set of values or a code of ethics that are underpinned by such as:</p> <ul style="list-style-type: none"> ▪ 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 	<p>▪ All aspects of the previous column plus:</p> <p>In addition Leaders have developed a set of values or a code of ethics. Where applicable this must include Anti-fraud and bribery policies.</p> <p>These are known by all staff and are implemented throughout the organisation.</p> <p>Procedures are in place to take action against individuals who do not work within the values or code of ethics.</p>	<p>← All aspects of the previous column plus:</p> <p>Staff agree that leaders act as role models for the values or code of ethics.</p>	<p>← All aspects of the previous column plus:</p> <p>Leaders take an effective role in promoting a set of values or codes of ethics within the industry.</p>

Requirements change for 2017

7. Leadership


7.4 An SIA Approved Contractor can demonstrate that the leaders develop and implement an effective management system that continually improves the organisation and its performance, achieving this through the proactive input and support from their staff.				
7.4.1 Leaders are involved in improvement activity, encouraging staff participation where appropriate.				
		Required Achievement Level		
Leaders cannot demonstrate that they are involved in improvement activity or include any staff participation.	← All aspects of the previous column plus: Leaders can demonstrate some improvement activity including some input from staff though in an ad-hoc or reactive manner.	← All aspects of the previous column plus: Leaders are routinely involved in improvement activity, encouraging appropriate staff participation, through suggestions, ideas and active involvement in the service delivery improvement process. There are examples of such improvements that have included, where relevant, both leaders and staff.	← All aspects of the previous column plus: Leaders' involvement delivers added value to the improvement achieved and is enhanced by active and appropriate staff participation in the process.	← All aspects of the previous column plus: Leaders can evidence that lessons learnt during any improvement activity and achieved through staff participation are communicated across the organisation as appropriate.

Requirements change for 2017

Good Practice change for 2017

7. Leadership

Requirements change for 2017

7.4 An SIA Approved Contractor can demonstrate that the leaders develop and implement an effective management system that continually improves the organisation and its performance, achieving this through the proactive input and support from their staff.				
7.4.2 Leaders recognise individual and team efforts.				
	Required Achievement Level			
Leaders do not recognise individual and team efforts	<p>← All aspects of the previous column plus:</p> <p>There are processes in place to recognise individual and team efforts.</p> <p>There are examples of recognition of individual and team efforts.</p>	<p>← All aspects of the previous column plus:</p> <p>Leaders actively ensure that the processes are fully implemented.</p>	<p>← All aspects of the previous column plus:</p> <p>Leaders publicise staff recognition within the organisation and external stakeholders.</p>	

8. Corporate Social Responsibility

An SIA Approved Contractor recognises and acts on its corporate social responsibility.

8.1 An SIA Approved Contractor can demonstrate that it actively manages the impact of its services on society.				
8.1.1 There is a policy relating to corporate social responsibility which is communicated and implemented.				
		Required Achievement Level		
The organisation has not considered its responsibility to society as a whole.	<p>← All aspects of the previous column plus:</p> <p>The organisation is aware of its responsibilities to society. There are some examples of actions taken that are consistent with these responsibilities.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation is aware of its responsibilities to society and takes a positive stance to ensure ownership. Staff are aware of their responsibilities and act accordingly. Steps have been taken to make customers aware of the organisation's positive stance on its responsibilities to society.</p>	<p>← All aspects of the previous column plus:</p> <p>A policy relating to corporate social responsibility exists. The policy outlines the organisation's positive stance on environmental and social issues and directly addresses protection of the public. It is communicated to all staff and customers.</p>	<p>← All aspects of the previous column plus:</p> <p>The policy covers a wide spectrum of activity, including an environmental policy statement. It is fully implemented.</p>

8. Corporate Social Responsibility

8.1 An SIA Approved Contractor can demonstrate that it actively manages the impact of its services on society.				
8.1.2 Activities to promote and improve the reputation of the private security industry with the police, the local community and with customers are planned and implemented.				
		Required Achievement Level		
The organisation has not considered its impact on the reputation of the Private Security Industry.	<p>← All aspects of the previous column plus:</p> <p>The organisation is aware of how it may impact the reputation of the Private Security Industry.</p> <p>The organisation takes opportunities to enhance the reputation of the private security industry when appropriate.</p>	<p>← All aspects of the previous column plus:</p> <p>Appropriate contact with the police is maintained.</p> <p>Actions that may enhance the reputation of the Private Security Industry are planned and linked to local activities and to customer initiatives where appropriate.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation actively works with relevant organisations to promote protection of the public within the local community, for example through counter terrorism awareness or training.</p> <p>They actively encourage recruitment by promoting a positive image of the private security industry through their actions.</p>	<p>← All aspects of the previous column plus:</p> <p>The organisation has been recognised by relevant organisations as a leader in developing the reputation of the private security industry.</p>

8. Corporate Social Responsibility

Requirements change for 2017

8.1 An SIA Approved Contractor can demonstrate that it actively manages the impact of its services on society.				
8.1.3 Activities to promote and improve the awareness of anti-terrorist activities.				
	Required Achievement Level			
The organisation has not considered the ways in which it may promote and improve the awareness of anti-terrorist activities.	← All aspects of the previous column plus: The organisation is aware of how it may promote and improve the awareness of anti-terrorist activities and has taken some initiatives in this area.	← All aspects of the previous column plus: Actions to promote and improve the awareness of anti-terrorist activities are planned and linked to local activities and to customer initiatives where appropriate.	← All aspects of the previous column plus: The organisation actively works with relevant organisations to promote and improve the awareness of anti-terrorist activities.	← All aspects of the previous column plus: The organisation has been recognised by relevant organisations as a leader in promoting and improving the awareness of anti-terrorist activities.

8. Corporate Social Responsibility

8.2 An SIA Approved Contractor can demonstrate that it manages waste and non renewable resources in a socially responsible way.				
8.2.1 The organisation considers its impact on the environment in service delivery and running the business.				
	Required Achievement Level			
The organisation has not considered its impact on the environment.	<p>← All aspects of the previous column plus:</p> <p>The organisation is aware of its impact on the environment and is taking steps where appropriate to reduce this impact.</p>	<p>← All aspects of the previous column plus:</p> <p>There is a policy relating to the organisation’s environmental impact. It is included in the induction of new staff</p> <p>Some aspects of performance against the policy are monitored.</p>	<p>← All aspects of the previous column plus:</p> <p>The environmental policy is communicated to staff and customers and included in tender documents.</p>	<p>← All aspects of the previous column plus:</p> <p>The environmental policy is integrated into an organisation wide corporate social responsibility statement.</p> <p>It is fully implemented.</p> <p>Performance against the policy is monitored.</p> <p>The organisation holds ISO 14001 in Environmental Management.</p>

Good Practice change for 2017

9. Results

An SIA Approved Contractor measures, understands and improves its achievements in relation to all stakeholders and adopts a continual improvement policy.

9.1 An SIA Approved Contractor can demonstrate that it measures and improves performance against key customer and consumer indicators.					
9.1.1 The regular review of performance against service level agreements and/or key customer performance indicators.					
	Required Achievement Level				
Requirements change for 2017	<p>Performance against service level agreements and key customer performance indicators is not reviewed.</p> <p>The number of measures is not sufficient to give a true picture of performance.</p> <p>There are examples of improvements in performance.</p>	<p>← All aspects of the previous column plus:</p> <p>Performance is reviewed on a contract by contract basis.</p> <p>Measures cover all key aspects of the services provided to customers.</p> <p>Reasons for shortfalls in performance are understood.</p> <p>Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.</p>	<p>← All aspects of the previous column plus:</p> <p>Performance against service level agreements and key customer performance indicators is regularly reviewed.</p> <p>Measures cover all key aspects of the services provided to customers.</p> <p>Where applicable these include annual performance targets of:</p> <p>99% of licence applications must be correctly completed when submitted to the SIA; and</p> <p>99% of licence applications must pass internal SIA quality checking of ID and photograph checks.</p> <p>The results show positive trends and/or sustained good performance for the period of time the measure has been in place.</p> <p>Improved performance has taken place in the areas targeted for improvement.</p> <p>Reasons for shortfalls in performance are understood.</p>	<p>← All aspects of the previous column plus:</p> <p>All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.</p> <p>Action plans are in place where performance falls below target.</p>	<p>← All aspects of the previous column plus:</p> <p>Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.</p> <p>Performance compares favourably.</p> <p>External comparisons are relevant for promoting learning and improvement.</p>

9. Results

9.2 An SIA Approved Contractor can demonstrate that it measures and improves both customer and consumer perception of its organisation, its people and its services.				
9.2.1 The regular review of performance against responses from customer opinion gathering.				
	Required Achievement Level			
Customer opinions are not reviewed.	<p>← All aspects of the previous column plus:</p> <p>Customer opinions are regularly obtained and reviewed on a customer by customer basis.</p> <p>Reasons for shortfalls in performance are understood.</p> <p>Customer opinion has improved following changes made as a result of feedback.</p> <p>Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.</p>	<p>← All aspects of the previous column plus:</p> <p>Performance against customer perception measures is regularly reviewed.</p> <p>Measures cover all aspects of the services provided to customers.</p> <p>Reasons for shortfalls in performance are understood.</p> <p>Improved performance has taken place in the areas targeted for improvement.</p>	<p>← All aspects of the previous column plus:</p> <p>All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.</p> <p>Action plans are in place where performance falls below target.</p>	<p>← All aspects of the previous column plus:</p> <p>Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.</p> <p>Performance compares favourably.</p> <p>External comparisons are relevant for promoting learning and improvement.</p>

Requirements change for 2017

9. Results

9.3 An SIA Approved Contractor can demonstrate that it measures and improves performance against key staff indicators.				
9.3.1 The regular review of performance against key staff performance indicators.				
	Required Achievement Level			
<p>Staff performance measures relate to performance in service delivery.</p> <p>They are reviewed as and when discussions about performance take place with the customer.</p>	<p>← All aspects of the previous column plus:</p> <p>Additional measures cover all key aspects of staff activity.</p> <p>Reasons for shortfalls in performance are understood.</p> <p>Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.</p>	<p>← All aspects of the previous column plus:</p> <p>Measures covering all aspects of staff activity are regularly reviewed.</p> <p>Improved performance has taken place in the areas targeted for improvement.</p>	<p>← All aspects of the previous column plus:</p> <p>All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.</p> <p>Action plans are in place where performance falls below target.</p>	<p>← All aspects of the previous column plus:</p> <p>Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.</p> <p>Performance compares favourably.</p> <p>External comparisons are relevant for promoting learning and improvement.</p>

Requirements change for 2017

9. Results

9.4 An SIA Approved Contractor can demonstrate that it measures and improves staff perceptions of the organisation and their role within it.				
9.4.1 The review of performance against responses from staff opinion gathering.				
	Required Achievement Level			
Requirements change for 2017	<p>Staff opinions are gathered. Recording of opinions is not normal practice but comments are acted upon when appropriate.</p> <p>← All aspects of the previous column plus: Staff opinions are regularly obtained and reviewed. Reasons for shortfalls in performance are understood. Appropriate actions have been taken on some issues raised by staff. Some results show positive trends and/or sustained good performance for the period of time the measure has been in place.</p>	<p>← All aspects of the previous column plus: 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.</p>	<p>← All aspects of the previous column plus: 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.</p>	<p>← All aspects of the previous column plus: Comparisons of performance are made with relevant organisations inside and/or outside of the security industry. Performance compares favourably. External comparisons are relevant for promoting learning and improvement.</p>

9. Results

Requirements change for 2017

9.5 An SIA Approved Contractor can demonstrate that it measures and improves performance against key indicators for the way in which it supports the community and the environment in which it operates.				
9.5.1 The review of performance against internal and external environmental/societal/ health and safety performance indicators.				
	Required Achievement Level			
Performance in relation to the environment, health and safety and impact on society is not monitored.	<p>← All aspects of the previous column plus:</p> <p>Health and safety performance indicators are regularly reviewed.</p> <p>Reasons for shortfalls in performance are understood.</p>	<p>← All aspects of the previous column plus:</p> <p>Performance indicators are in place to measure environmental and/or societal activity.</p> <p>Improved performance has taken place in the areas targeted for improvement.</p> <p>Performance in relation to the environment and/or impact on society is monitored or reviewed.</p>	<p>← All aspects of the previous column plus:</p> <p>All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.</p> <p>The results show positive trends and/or sustained good performance for the period of time the measure has been in place.</p> <p>Action plans are in place where performance falls below target.</p>	<p>← All aspects of the previous column plus:</p> <p>Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.</p> <p>Performance compares favourably.</p> <p>External comparisons are relevant for promoting learning and improvement.</p>

9. Results

Requirements change for 2017

9.5 An SIA Approved Contractor can demonstrate that it measures and improves performance against key indicators for the way in which it supports the community and the environment in which it operates.				
9.5.2 Key measures are used to indicate reputation within the local community.				
	Required Achievement Level			
The reputation of the organisation within the local community is not monitored.	<p>← All aspects of the previous column plus: The organisation maintains a good reputation within the local community.</p>	<p>← All aspects of the previous column plus: There are examples of positive feedback from the local community.</p>	<p>← All aspects of the previous column plus: The organisation encourages and acts upon individual feedback. The organisation actively seeks feedback from the police and other relevant authorities on its performance in upholding the reputation of the security industry.</p>	<p>← All aspects of the previous column plus: The organisation measures its reputation within the local community, police and other relevant authorities by conducting opinion gathering exercises on a regular basis.</p>

9. Results

Requirements change for 2017

9.6 An SIA Approved Contractor can demonstrate that it measures and improves performance against key outcomes and financial indicators critical to the business.				
9.6.1 The regular review of performance against success factors and key financial indicators critical to the business.				
	Required Achievement Level			
<p>Performance against key outcomes is not reviewed.</p> <p>The number of measures is not sufficient to give a true picture of performance.</p>	<p>← All aspects of the previous column plus:</p> <p>Performance against key outcomes is regularly reviewed.</p> <p>Measures cover all key aspects of the business outside of staff and customer indicators.</p> <p>Reasons for shortfalls in performance are understood.</p> <p>Some results show positive trends and/or sustained good performance for the period of time the measure has been in place</p>	<p>← All aspects of the previous column plus:</p> <p>Improved performance has taken place in the areas targeted for improvement.</p>	<p>← All aspects of the previous column plus:</p> <p>All measures have targets. These are either met or the reasons for shortfalls in performance are understood and are being addressed.</p> <p>Action plans are in place where performance falls below target.</p>	<p>← All aspects of the previous column plus:</p> <p>Comparisons of performance are made with relevant organisations inside and/or outside of the security industry.</p> <p>Performance compares favourably.</p> <p>External comparisons are relevant for promoting learning and improvement.</p>

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If you have any enquiries please use your business portal account. Click on 'Contact the SIA' and then select 'I want to make a business enquiry'.

www.sia.homeoffice.gov.uk