

Contents

- 1 Introduction2
- 2 Tips for completing your SAW correctly2
- 3 SAW good example of evidence for sub-indicator 4.1 and 4.24
- 4 SAW poor example of evidence for sub-indicator 4.1 and 4.25
- 5 SAW good example of evidence for sub-indicator 6.16
- 6 SAW poor example of evidence for sub-indicator 6.18
- 7 Assistance with your ACS application10

I. Introduction

The Self Assessment Workbook (SAW) plays an important part in the ACS application process and the SAW must be completed and submitted before you send in your ACS application form.

Completing the SAW before you send in your ACS application form will indicate whether your company meets all of the eighty-nine sub-indicators which form part of the ACS standard. If your company does not meet all of the eighty-nine sub-indicators then you should not apply for ACS status until you do meet all of the sub-indicators.

When we receive an ACS application form we will check that the SAW has been completed correctly and submitted. If we are not satisfied that the SAW has been completed correctly (i.e. there is a lack of evidence or over-reliance on ISO etc) then we will reject your application and cancel your SAW submission. You will then be given time to amend your SAW and re-submit it before we withdraw your application.

2. Tips for completing your SAW correctly

To ensure that you complete your SAW correctly there are some tips below:

- Try to include input from as many of your staff as possible. This gives your staff more ownership and buy-in to the process. It also ensures that any issues can be identified before your independent assessment.
- Evidence must be given for each indicator. If any applicable indicator is left blank you may be asked to re-submit the online achievement record. We are aware that some indicators may not be applicable to all organisations – e.g. If you do not use sub-contractors, N/A would be acceptable for 2.4.1, and 3.1.3.


- We require a certain amount of detail so one word or one sentence answers may not be acceptable, although please note that each evidence box is limited to 500 characters.
- Ensure that the evidence is relevant to your company only, if we become aware that the evidence used has been previously submitted in a SAW by another applicant (i.e. copy and pasted) then we will reject your SAW.
- Ensure you have understood the indicator/sub-indicator before completing the SAW. For assistance with your self-assessment workbook or our online achievement record please email acsenquiries@sia.gsi.gov.uk.
- Examples of answers that may not be considered valid or sufficient (unless accompanied by further explanatory detail) include:
 - *Refer to ISO9001.*
 - *ISO9001 approved.*
 - *British Codes of Practice.*
 - *NSI Gold/Silver Company.*
 - *We comply with ISO9001.*
 - *We comply with our own policies.*
 - *Yes.*
 - *We do this.*
 - *Where relevant.*
 - *See QMS manual.*
 - *A repeat of the wording of the sub-indicator.*

On the following pages we have included actual samples of good evidence and poor evidence that has previously been submitted to us. Please note that in the case of poor examples, we have cancelled these SAW submissions and rejected the application.

3. SAW good example of evidence for sub-indicator 4.1 & 4.2




4.1 An SIA Approved Contractor can demonstrate that it has suitable financial resources to manage its financial obligations.

Evidence: XXXXX Limited is a subsidiary of XXXX Group Limited which has traded in xxxx since 1977. XXXXX Ltd is the ultimate holding company of XXXXX's and is 80% owned by XXXXXXXX, a private equity group. The annual turnover of XXXXX's is in excess of xxxxxx. The group of Companies has a strong balance sheet.

Indicators	Previous Contractor Score	Previous Assessor Score	Contractor	Assessment
<p>4.1.1 2 years audited or certified accounts can be presented and/or the availability of funding for the achievement of the plan for the business can be evidenced.</p> <p>Financial plans and budgets are completed annually and reviewed on an ongoing basis. There are no outstanding county court judgements. Financial accounts are audited internally and externally and submitted to Companies House on a timely basis. Financial information is distributed within the Company. Customers are provided with the financial accounts on request. Costings are prepared using an open book costing model.</p>	No score	No score	2	 1 5 NA 2 3 4 ▲

4.2 An SIA Approved Contractor can demonstrate strong financial processes to safeguard the interests of its stakeholders.


Evidence: Effective financial processes are in place to safeguard the interests of internal and external stakeholders.

Indicators	Previous Contractor Score	Previous Assessor Score	Contractor	Assessment
<p>4.2.1 Clear and effective management of the payroll can be evidenced.</p> <p>The Company operates a weekly, fortnightly and monthly automated payroll system (called Superpay). The automated information is reviewed by the payroll administrator. All employees are paid through the PAYE scheme with electronic payments being made to the Inland Revenue. Any pay queries are dealt with speedily and reviewed by management so that any improvements can be identified. Employees receive payslips on the last Thursday of the month, and these detail payments and deductions.</p>	No score	No score	5	 1 5 NA 2 3 4 ▲
<p>4.2.2 Financial procedures are defined, understood and implemented (i.e. sound fiscal controls in place).</p> <p>Financial resources and liabilities are managed and controlled through the Company financial systems including audited accounts, sales ledger, purchase ledger, monthly accounts, cash flow forecasts, risk management and contingency reporting and asset management. The financial plans are continually reviewed to ensure relevance and viability. Key Performance Indicators (KPI's), are in place and reported on a weekly and quarterly basis. There is a list of authorised signatories and their spending limits</p>	No score	No score	3	 1 NA 2 3 4 ▲
<p>4.2.3 A clear 'fit and proper' management structure with defined and understood authority levels is in place.</p> <p>The company has a clearly defined management structure which is documented and communicated to employees. No Directors are un-discharged bankrupt and no Directors are disqualified under the Company Directors Disqualification Act 1986. All documentation is filed at Companies House in a timely manner.</p>	No score	No score	2	 1 NA 2 3 ▲

4. SAW poor example of evidence for sub-indicator 4.1 & 4.2




4.1 An SIA Approved Contractor can demonstrate that it has suitable financial resources to manage its financial obligations.

Evidence: We can show evidence of our financial history

Indicators	Previous Contractor Score	Previous Assessor Score	Contractor	Assessment
<p>4.1.1 2 years audited or certified accounts can be presented and/or the availability of funding for the achievement of the plan for the business can be evidenced.</p> <p>These are available for audit</p>	No score	No score	2	 5 NA 2 3 4 1

4.2 An SIA Approved Contractor can demonstrate strong financial processes to safeguard the interests of its stakeholders.





Evidence: We have a payroll system which is evident


Indicators	Previous Contractor Score	Previous Assessor Score	Contractor	Assessment
<p>4.2.1 Clear and effective management of the payroll can be evidenced.</p> <p>The payroll system is in place and ready for audit</p>	No score	No score	3	 5 NA 2 3 4 1
<p>4.2.2 Financial procedures are defined, understood and implemented (i.e. there are sound fiscal controls in place).</p> <p>We have frequent reviews of our financial position with our accountant.</p>	No score	No score	2	 NA 2 3 4 1
<p>4.2.3 A clear 'fit and proper' management structure with defined and understood authority levels is in place.</p> <p>The company has in place a management structure at all levels although the company is still small.</p>	No score	No score	2	 1 NA 2 3

5. SAW good example of evidence for sub-indicator 6.1


6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.

Evidence: A Company Handbook is provided to all staff. Induction training is provided for all staff. SIA training has been provided free of charge for all employees. Other site specific and customer care training is provided for staff.


Indicators	Previous Contractor Score	Previous Assessor Score	Contractor	Assessment
<p>6.1.1 There is a defined and implemented recruitment policy.</p> <p>The Company has in place recruitment policies and procedures that meet the requirements of ISO9001:2000. Company vetting exceeds that required by BS7858. All vacancies are advertised and comply with Fair Employment, Disability Act and Equal Opportunity legislative requirements. Welcoming statements are included where considered necessary. Monitoring is in place to ensure compliance. Qualifications and Clearances are monitored to ensure validity.</p>	No score	No score	5	 1 5 NA 2 3 4 ▲
<p>6.1.2 Defined employee training, development and improvement policy and procedures are in place, implemented and communicated.</p> <p>Induction training, SIA training, Role specific and Site specific training including for example the management of hazardous substances on a chemical site, has been provided to staff. Development training has been offered to and provided for a number of Managers and Supervisors e.g. 2 people recently did an OU Managing People course. Training on Employment and Labour Relations issues is provided for all Managers and Supervisors. This training is refreshed periodically. Company policy is that Managers undertake SIA approved training; this has been completed.</p>	No score	No score	3	 1 NA 2 3 ▲
<p>6.1.3 A process for obtaining staff opinions on the organisation, their job and conditions exists and is implemented.</p> <p>Staff suggestions are encouraged and sought via the Company suggestion scheme. Employee surveys and questionnaires are carried out. Regular meetings are held with Employee Representatives. Management operate an open door policy and visit staff on site to hear their views. Exit interviews are carried out with staff who are leaving the Company. We have made changes to the appraisal process as a result of staff feedback</p>	No score	No score	5	 1 5 NA 2 3 4 ▲
<p>6.1.4 Employee records are maintained.</p> <p>Employee records are maintained in accordance with the requirements of BS7858. Staff - reviews, reports, security clearances, vetting clearances, training, attendance records and disciplinary issues are maintained. Only designated people have access to employee records. Where a Driving Licence is a job requirement Driving Licences are examined 6 monthly. Procedures are now in place for the monitoring of staff SIA licences.</p>	No score	No score	4	 1 NA 2 3 4 ▲

6.1.5 A defined grievance procedure is in place which is implemented and communicated. No score No score 3  1 NA 2 3 ▲


A Grievance Policy and procedures are in place within the Company and are documented in the Company Handbook. The Policy and procedures are communicated to staff during induction training. Specialist training is provided via the Labour Relations Agency. The Company HR Department is responsible for developing the grievance policy and overseeing its operation.

6.1.6 Defined terms and conditions of employment exist which are implemented and communicated. No score No score 3  1 5 NA 2 3 4 ▲


Staff are issued with contracts of employment. Holiday pay and entitlements are provided. An optional stakeholder pension scheme is available along with a medical scheme, and is detailed in the staff handbook. Staff are provided with uniform and appropriate personal protective equipment. Work related accident procedures are in place.

6.1.7 A defined disciplinary process is in place which is implemented and communicated. No score No score 3  1 NA 2 3 ▲


Company disciplinary policy and procedures are detailed in the Company handbook provided to all staff. Prior to disciplinary action, investigations are undertaken and an appeal process is available along with staff support. The Company HR Department is responsible for developing the discipline policy and overseeing its operation.

6.1.8 A defined policy exists covering 'Transfer of Undertakings' which is implemented and communicated. No score No score 2  1 NA 2 3 ▲


The Company has considerable experience of applying 'Transfer of Undertakings' to both incoming and outgoing staff on the transfer of contracts. 2 recent examples included the transfer of 10 security guards. The procedures are managed by the Company HR Department.

6.1.9 Roles and responsibilities are defined for all employees. No score No score 3  1 NA 2 3 4 ▲

Job Profiles are provided for staff. Site specific roles and responsibilities are included in job descriptions. The Company computer system ('Stafftrain') is used to manage staff training/site requirements.

6.1.10 A defined equality and diversity policy exists which is implemented and communicated. No score No score 3  1 NA 2 3 ▲

An Equality and Diversity policy is in place. This is communicated to staff during induction training and re-inforced by supervisors. Additional training is provided for Managers and Supervisors. The company operates an affirmative action strategy and outreach measures to attract applicants with different backgrounds to ensure as far as possible we have a representative workforce.








6.1.11 An induction pack/training including an introduction to policies and procedures exists. No score No score 5  1 5 NA 2 3 4 ▲

An Induction pack and training is provided via Induction training. Senior Management are involved in this training.

6. SAW poor example of evidence for sub-indicator 6.1

6.1 An SIA Approved Contractor can demonstrate that it manages its human resources through clear policies and procedures.

Evidence: We check all our officers licenses monthly with the SIA register to ensure that all our guards have an active licence this is recorded on our spread sheet.

Indicators	Previous Contractor Score	Previous Assessor Score	Contractor	Assessment
<p>6.1.1 There is a defined and implemented recruitment policy.</p> <p>We have a recruitment policy which guides us to saving time on recruiting the right people for the jobs required. We check all our officers licenses monthly with the SIA register to ensure that all our guards have an active licence this is recorded on our spread sheet.</p>	No score	No score	2	 1 5 NA 2 3 4 ▲
<p>6.1.2 Defined employee training, development and improvement policy and procedures are in place, implemented and communicated.</p> <p>Training is a big part of our company getting our service right for our customers, we do induction training on paperwork and on site training for site specific all is recorded</p>	No score	No score	3	 1 NA 2 3 ▲
<p>6.1.3 A process for obtaining staff opinions on the organisation, their job and conditions exists and is implemented.</p> <p>We do this by having comment sheets on site and by regular contact with all staff</p>	No score	No score	2	 5 NA 2 3 4 1 ▲
<p>6.1.4 Employee records are maintained.</p> <p>All maintained to the current standards</p>	No score	No score	3	 NA 2 3 4 1 ▲
<p>6.1.5 A defined grievance procedure is in place which is implemented and communicated.</p> <p>In place and within our handbook</p>	No score	No score	2	 1 NA 2 3 ▲
<p>6.1.6 Defined terms and conditions of employment exist which are implemented and communicated.</p> <p>All employees are given a contract and a copy of terms and conditions</p>	No score	No score	2	 5 NA 2 3 4 1 ▲
<p>6.1.7 A defined disciplinary process is in place which is implemented and communicated.</p> <p>This is in place and is in the company handbook</p>	No score	No score	2	 1 NA 2 3 ▲

<p>6.1.8 A defined policy exists covering 'Transfer of Undertakings' which is implemented and communicated.</p> <p>Tupe policy is in place</p>	No score	No score	2		1 NA 2 3 ▲
<p>6.1.9 Roles and responsibilities are defined for all employees.</p> <p>Roles and responsibilities is in place on contract of employment</p>	No score	No score	3		1 NA 2 3 4 ▲
<p>6.1.10 A defined equality and diversity policy exists which is implemented and communicated.</p> <p>We have an equality and diversity policy in place which is implemented</p>	No score	No score	2		1 NA 2 3 ▲
<p>6.1.11 An induction pack/training including an introduction to policies and procedures exists.</p> <p>This is in place and is signed for by all employees</p>	No score	No score	2		1 5 NA 2 3 4 ▲

7. Assistance with your ACS application

A good SAW can also play a vital part in ensuring your ACS assessment is successful. Your assessor will use your SAW to help plan and structure your ACS assessment.

Do you need expert help to become an SIA approved contractor? This is a question we have been asked many times and the answer is: generally no. The ACS application process is designed to be manageable for any company, regardless of size.

It starts with your own assessment of your organisation, which is then verified by an independent (non-SIA) assessor. Experience shows that you and your employees are best placed to carry out your company's self assessment. You know how your company operates, and the ACS Self Assessment Workbook will enable you to quickly and easily identify your organisation's strengths and weaknesses.

To help you, we provide a comprehensive guide to the self assessment process, as well as good practice tips on how to complete your achievement record. The ACS admin team is available for calls Monday to Friday, 9am-5.00pm, and our regional quality assurance managers can offer some limited assistance too.

As the support that our regional quality assurance managers can offer you is limited, please ensure you get the best out of it. Make sure you work your way through **all** the indicators of the Self Assessment Workbook (SAW) as far as you can, noting all the indicators you don't understand or can't complete (don't forget to use the SAW Guide for help). There is no additional cost to you for this support.

Security Industry Authority Approved Contractor Scheme PO Box 49768 London WC1V 6WY
Phone 020 7025 4190 Fax 020 7025 4101 E-mail ACSenquiries@sia.gsi.gov.uk
www.sia.homeoffice.gov.uk/acs

The SIA logo is a certification mark owned by the Security Industry Authority and may not be used without express permission from the SIA