



Security Industry Authority

RAISING STANDARDS, PROTECTING THE PUBLIC

SIA Corporate Plan

2019 – 2020

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FOREWORD

From Elizabeth France CBE,
Chair of the Security Industry
Authority.

In the final quarter 2018/19 the SIA welcomed a new Chief Executive, Ian Todd, who has joined us from the Independent Office for Police Conduct (IOPC), we were also pleased to receive from the Minister of State for Policing and Fire Services, Nick Hurd, an endorsement of our regulatory role and the work we are doing on safeguarding and counter terrorism. The Minister was responding to the recommendations of the review of the SIA which had been published in June 2018. It is a tribute to the leadership of our previous Chief Executive, Alan Clamp, that we have anticipated many of the Review's recommendations, completing the review of the Approved Contractor Scheme (ACS), updating and explaining more clearly the licensing criteria by revising Get Licensed, beginning a major review of the standards and qualifications required by licence holders, and improving our efficiency not least by the successful move of the Office to a new Government hub.

In his response the Minister made clear that there was not a sufficient case for any legislative change to our regime, so the challenge for us is to ensure that we make full use of the PSIA 2001 and look for ways of taking forward our objectives without the need for legislative change.

This year's plan allows us to continue on the path we had set out in the strategy published last year and intended to take us through to 2021. There will need to be a refresh of our thinking before then. We must take time to consider how best to take regulation of the private security industry forward, building on

the work which is in train to raise standards and ensure that, in everything we do, protecting the public is at the forefront of our thinking. Members have challenged our Chief Executive to develop ideas to bring to our strategic planning day in September and I look forward to sharing the outcome of our deliberations in due course. As ever we shall consult on any changes we plan to make.

Input from our stakeholders is so valuable to us. This year we have had views on ACS, through workshops and written comments, and have had more than 6,000 people involved in our consultation on skills. The overwhelming positive response to the pilot tailored training sessions offered on counter terrorism ("You can ACT") show us what more can be done. I also welcome the constructive comments which are shared at the quarterly Strategic Forum, made up of industry representatives, which I chair.

No progress can be made without a committed and professional workforce, and I am grateful for the way in which SIA staff have embraced change during the year and have continued to meet their Key Performance Indicators. Dave Humphries (interim Chief Executive) ensured a smooth transfer between Chief Executives and we wish him well as he moves on to new challenges.

Elizabeth France CBE
Chair

1. INTRODUCTION

1.1 Who we are

The Security Industry Authority (SIA) is a public body sponsored by the Home Office. We were established under the Private Security Industry Act 2001 to contribute to public protection by setting and improving standards in the regulated private security industry. The Act covers England, Wales, Scotland and Northern Ireland.

1.2 Our remit

The regulated private security industry protects people, property and premises. It is currently made up of the following sectors:

- Manned guarding:
 - Cash and valuables in transit
 - Close protection
 - Door supervision
 - Public space surveillance (CCTV)
 - Security guarding
- Key holding
- Vehicle immobilising (Northern Ireland)

1.3 What we do

We have a number of statutory functions:

We license individual security operatives.

We do this by applying approved criminality and other 'fit and proper' person criteria. We establish that minimum competency requirements have been met before licensing individuals.

We set and approve standards of conduct and training.

We do this by specifying the learning and qualifications required for individual licensing. We oversee the standard of assessment and awarding arrangements of qualifications

recognised for licensing. We work with qualifications regulators, and endorse bodies awarding qualifications, which in turn approve training providers.

We are currently working with industry to identify future skills needs beyond the compulsory qualifications requirement. We want to make learning and career development frameworks available to help professionalise the industry.

We maintain a register of approved providers of security industry services – the voluntary Approved Contractor Scheme (ACS).

We do this by applying eligibility and other 'fit and proper' criteria, and we establish terms and conditions of approval. We specify a quality standard that covers all aspects of how a well-managed business should perform. This standard includes the quality of their service delivery, meaning that customers of approved contractors have a direct input into their assessment. We manage the appointment and performance of the bodies that assess approved contractors.

We raise industry standards by enforcing compliance when other intervention activity is unsuccessful.

We work closely with police, local authorities, training providers, trade associations, industry representatives and other government agencies to ensure that individuals and companies operating within the private security industry comply with the law. Compliance and enforcement operations are an important part of this work.

In 2015 we were granted new powers under the Proceeds of Crime Act 2002. These allow us to apply to the courts for the confiscation of assets gained through criminal activity.

Our aim is to recover profits made by offenders. This deprives them of the benefit of their crimes, often prevents them from starting a new, 'phoenix' business, and provides us with a proportion of the funds to invest in further compliance activity.

We support the Home Office aims and objectives on public protection

Our national policy aims are generally aligned with the objectives of our sponsoring department, the Home Office, in relation to the delivery of our functions. This includes crime reduction, preventing terrorism, preventing exploitation, safeguarding and violence reduction.

1.4 Our vision and mission

The SIA was established to protect the public by setting and improving standards in the private security industry. These principles remain central to the work of the SIA, and our existence means that the public can be reassured that the regulated private security industry plays an important role in keeping people safer.

Our vision is a consistently high quality and professional private security industry that is committed to high standards and protecting the public from harm.

We are committed to working with the industry to improve standards. In this context 'standards' refers to the quality of work carried out by individuals and businesses and the contribution this makes to protecting premises, possessions and, most importantly, the public.

Our mission is to hold the private security industry to account for high standards and to work with the industry and other agencies to protect the public from harm.

We are confident that we can achieve this goal if we pursue activities that relate to the protection of the public; our relationships with

stakeholders and the interested public; the way we look after our people, and the way we run the SIA and use our resources.

The SIA is recognised as an effective and successful regulator. We have achieved this by developing a distinctive style of principled, proportionate and risk-based regulation, which we refer to as right-touch regulation. This is underpinned by close working relationships with our stakeholders and members of the public who come into contact with our regulation or have an interest in it.

We are a proportionate regulator, targeting our work to address non-compliance by individuals or businesses in the areas of greatest risk to the public. This is consistent with the good regulation principle of earned autonomy – those who can demonstrate consistently good standards receive less scrutiny and intervention from the regulator. Nevertheless, the SIA is committed to supporting all businesses, and individuals, to achieve higher standards. Moving forward we will be taking an increasingly risk based approach while strengthening our compliance and enforcement work.

2. OUR VALUES

In order to achieve our mission and vision, we are establishing an ambitious programme of work (as detailed in section 5) and a set of values that guide our behaviour. Our staff have been instrumental in developing these values.

Courageous:

We are confident in our approach, and in our integrity and independence. We enforce proportionately without fear or favour. We are not afraid to challenge.

Responsive:

We listen, and we continually strive to improve.

Efficient and professional:

We will deliver increasing value for money every year. We recognise and enjoy success. We are brave in recognising poor performance or failure; we put it right, share the learning, and move on to the next success.

Together/united:

We work as one team within the SIA. Everyone has value.

3. OUR PURPOSE

Before the Security Industry Authority was created, there were significant concerns about the level of criminality in parts of the private security industry, which compromised public protection. The private security industry sector was subject to little or no regulation prior to the Private Security Industry Act 2001 (PSIA). Reputable companies – the majority – were willing and able to deliver effective standards. However, there was no check on the less scrupulous companies that were undermining the industry.

A 1995 Home Affairs Select Committee report concluded that standards, particularly standards of training, in parts of the private security industry were unsatisfactory. In a white paper of March 1999, the Home Secretary referred to “an opportunity for the private security industry to play a wider role in community safety.”

Ministers were keen to nurture best practice, as well as prevent abuses, and saw a way to achieve wider public safety and crime reduction objectives by partnering with a well-regulated private security industry.

The Security Industry Authority came into being in 2003, and has been responsible for the regulation of the UK’s private security ever since.

Our primary objective is to contribute to public safety by ensuring that individuals placed in positions of trust meet certain minimum standards.

Since 2003, we have issued more than 1.4 million licences, contributing to an increase in the professionalism and level of training of private security operatives. We have also refused more than 45,000 licence applications from individuals who fail to meet our criteria.

Our Approved Contractor Scheme (ACS) has 858 companies, covering approximately 80 percent of activity in the regulated industry, with companies from all sectors and sizes of businesses. Approved contractors account for a large proportion of the value chain and employees in the industry.

Today the private security industry is a thriving, broad-based sector covering a range of services, many of which have a direct bearing on public safety. We are all used to seeing private security personnel in our everyday lives in shopping centres, leisure facilities, industrial facilities and at events.

78 percent approved contractors of businesses see themselves as growing over the next 5 years. This demonstrates a forward looking and optimistic industry.

We are committed to improving standards in the private security industry. We believe this will foster the culture of a respected and credible industry contributing to public safety.

In 2018, following a root and branch review of the Approved Contractor Scheme, we refreshed standards for the ACS. The new ACS requirements will be mandatory from 1 April 2019. In addition we have revised the eligibility and ‘fit and proper’ criteria to ensure that only sound, sustainable and credible companies are able to join the scheme.

We are reviewing the ways in which training can be used to improve standards. We are consulting with the private security industry and the training profession to ensure that the next generation of licence-linked qualifications are fit for purpose. More than 6,000 people have taken part in our recent consultation for this project. The new qualifications will be launched during 2020.

We are also working with the industry to establish frameworks for learning and development beyond our mandatory requirement. We want to ensure that there are professional structures characteristic of a professional industry, such as recognised qualifications to guide Continuing Professional Development.

A majority within the industry now understand our regulatory requirements and to an extent police themselves; for example, a significant volume of non-compliance intelligence comes from the industry itself. Everyone with a licence should understand the responsibility that they bear, and the professional behaviour expected of them.

Many security operatives do an important job well, and many companies provide a working environment that supports this. However, we still see occasions when behaviour and professionalism fall below the high standards of which the majority of the industry are proud.

The private security industry is being called upon to play an increasing role in public protection, whether as first responders to an incident, or by ensuring high profile events are safe and secure.

For the industry to be seen as a credible cog in the machinery of public protection, appropriate standards of behaviour and professionalism are required. In the coming year we will consult on a proposal for a code of conduct for licence holders and licence applicants.

We must keep pace with changes in the social, economic, and political landscape (such as Brexit), and be able to adapt to changing risks. Our future direction will be informed by a forthcoming strategic review of established, emerging, and 'horizon' threats.

We have recently undertaken a review of our Intelligence and Risk Management Function. Over the next year we will implement some of

the key recommendations to strengthen our risk-based regulatory approach.

The SIA supports the key priorities of the Home Office and of the devolved administrations by contributing to public protection and the reduction and prevention of crime.

The Home Office Review of the SIA was published in 2018. The Government has accepted its key recommendations: that regulation of the sector remains necessary, and that the SIA should continue to be the regulator.

In February our minister (Rt Hon Nick Hurd MP, Minister of State for Policing and the Fire Services) sent us a response to the outstanding recommendations of the Review. He recognised the important work that the SIA is doing on safeguarding and counter terrorism, and the overall effectiveness of our current approach. He concluded that there is no substantive case for extending the current regime, and therefore no need for significant legislative change such as business licensing, or replacing licensing with a compulsory approved contractor scheme.

Many of the findings of the Home Office review reflect our published priorities, some of which we are already delivering successfully; others will be addressed in our future strategic plans.

We will continue to explore innovative ways to make full use of our existing legislation, and seek non-legislative solutions in order to further our objectives.

4. HOW WE DO IT: OUR FOCUS

Our statutory functions are set out in the Private Security Industry Act 2001.

These are:

Licensing and approvals	<ul style="list-style-type: none"> • Deliver a mandatory individual licensing regime • Deliver a voluntary approved contractor scheme
Set standards	<ul style="list-style-type: none"> • Set and approve standards of conduct, training and supervision for licence holders and businesses involved with the industry • Make recommendations and proposals to government to raise standards in the industry • Implement and review the ACS to ensure it remains fit for purpose, whilst creating support and resources to help industry improve • Work with industry to take a strategic approach to defining and meeting further skills needs
Monitor industry activity	<ul style="list-style-type: none"> • Respond to intelligence engaging businesses and individuals for the purpose of raising standards and, where encouragement fails, taking appropriate enforcement action • Monitor the activities and effectiveness of businesses involving licence holders or providing private security services for the purpose of public protection • Engage with businesses, individual licence holders, Police and other agencies emphasising that 'Safeguarding' (e.g. Modern Slavery, child protection, vulnerability etc.) is a responsibility for all licensed security operatives • Keep under review generally the provision of private security industry services and the activities of licence holders • Commission and support research regarding the industry
Keep our act under review	<ul style="list-style-type: none"> • Where appropriate and necessary, develop and offer proposals to government regarding the private security Industry Act 2001
To be an effective and efficient organisation	<ul style="list-style-type: none"> • Have a skilled, diverse and motivated team committed to achieving our objectives • Implement processes, procedures and systems that enable us to achieve our objectives.

5. WHAT WE WILL DO: OUR KEY ACTIVITIES FOR 2019-2020

1. Licensing and Approvals

We will support businesses with their operational challenges; enabling compliant businesses to thrive and deploy optimum numbers of appropriately trained and vetted staff.

During this year this year we shall:

- deliver excellent standards of customer service by implementing and monitoring performance against agreed service level agreements
- aim to resolve our customers' enquiries at the first point of contact
- improve the way in which we verify identity documents
- persuade and encourage businesses to register for SIA online business accounts
- visit ACS businesses at their premises
- support businesses seeking approval to the Approved Contractor Scheme (ACS)
- conduct pre-approval interviews and post-approval checks for all ACS businesses
- host workshops, clinics and events for our customers
- provide enhanced support to our approved contractors by a variety of means
- provide clear and timely information to individuals and businesses
- improve the SIA website

2. Set Standards

We will ensure we have an industry that deploys skilled operatives who know and understand how to interact safely with the public.

During this year we shall:

- review our qualifications for all sectors
- work with industry to define a skills strategy for the sector
- work with others to scope out systems of commonly recognised structures of CPD
- encourage improvement in business performance by setting out case studies and examples of best practice
- review assessment arrangements for the ACS to ensure a more inclusive approach
- implement additional quality measures to ensure the appropriate quality assurance of qualifications
- implement thematic and seasonal marketing and publicity campaigns to achieve behaviour change and compliance
- we will consult on a proposal for a code of conduct for licence holders and licence applicants, taking into consideration views from government, the industry, our enforcement partners and stakeholders
- facilitate terror threat awareness training, including that based on the 'You Can Act' industry-specific content.

- build on our partnership with HMRC as they seek to raise standards of tax compliance across all private security businesses; protecting employees and providing a level playing field for all private security businesses.

3. Monitor industry activity

We will work collaboratively with private security businesses, our enforcement partners, and our stakeholders, enabling them to make a contribution to our risk-based regulatory approach.

During this year we shall:

For the purpose of public protection

- undertake inspections and business audits to identify and tackle non-compliance and non-conformance
- use a range of interventions and sanctions, including criminal investigation and prosecution of the most serious offences
- use our powers under the Proceeds of Crime Act to confiscate assets gained through criminal activity.
- continue to focus on areas of risk to the public
- work with partners to identify and disrupt serious and organised crime associated with the industry
- prioritise working with partners to increase the resources we have available and the effectiveness of our work
- run themed sector-specific campaigns to achieve compliance
- build on our relationships with GAIN (The Government Agency Intelligence Network)
- increase our intelligence exchanges with key partners
- aim to ensure our customers are getting the most out of our online watch list function

- ensure the appropriate quality assurance of qualifications by implementing additional quality measures

Using intelligence to inform our regulatory activities

- carrying out more research to develop our knowledge of the industry
- produce quality analytical products which effectively drive tactical activity
- inform the SIA's strategic direction through the production of a strategic assessment and operational planning
- improve intelligence flows from businesses
- continue to work with government and the private security industry to inform our understanding of, and response to, the potential effect of Brexit on labour supply within the industry
- forecast licence demand and future trends in the industry by analysing associated activity during the lifecycle of a licence application

4. Keep our Act under review

We will keep under review the provision of private security industry services and the activities of licence holders. We will also keep the Private Security Act under review to make recommendations to government on how it can be strengthened.

During this year we shall:

- complete development of proposals for additions to the list of relevant offences in 'Get Licensed' and discuss these with the Home Office
- develop business information resources to enable wider outreach to private security industry businesses

- ensure that our regulation is robust in the face of any challenges that may arise from Brexit
- continue to seek innovative ways to make full use of our existing legislation and to seek non-legislative solutions in order to further our objectives
- keep under review the Private Security Industry Act 2001 and, where necessary and appropriate, make recommendations to Government

Implement processes, procedures and systems that enable us to achieve our objectives

- Develop and implement a new IT and Digital strategy
- Ensure robust assurance of our data
- Introduce an agile methodology for the delivery of change
- Conduct an annual fee review for consideration by the Home Office

5. Be an effective and efficient organisation

We will be an accountable, well-run organisation, using our licence fee wisely for the benefit of the industry

During this year we shall:

Develop and support a skilled, diverse, and motivated workforce that is committed to achieving our objectives

- Continue to develop and roll out our staff training and leadership programmes
- Develop career paths to contribute towards organisational improvement and performance
- Ensure universal access to learning and development opportunities; this includes career development as well as role-specific training
- Provide consistent guidance for managers as part of the leadership and management development programme to ensure that we all have a common understanding and approach to performance
- Provide specific professional development for our investigators, such as training towards the Advanced Certificate in Investigative Practice

6. DELIVERING OUR PLAN

We are held to account by the SIA Board and its sub-committees (the Audit and Risk Assurance Committee and the HR Remuneration Committee), the Home Office and the industry itself. Our engagement with the private security industry takes many forms including monthly newsletters, an annual stakeholder conference, private meetings and speaking at industry events. Early 2017 saw the establishment of the Strategic Forum, which is proving a useful means whereby we can hear about the challenges facing the industry and how these might be tackled.

As a public body, our funding and expenditure must comply with the Private Security Industry Act 2001 as well as government requirements as set out in *Managing Public Money*. Our operational activity is fully funded by the fees that we charge to individuals. The achievement of full cost recovery is influenced by our three year business cycle, which is driven by the pattern of licensing. The ACS is funded by the fees charged to member businesses. Our capital spend is approved by the Home Office, and is funded by government grant.

A key part of our plan remains the delivery of good services at the lowest possible cost. We are working hard to drive down costs, and in 2019-20 we forecast our total costs to be (£28.7m) down from (£29.4m). The business plans we produce for financial year 2019-20 will include further information on how we will use our resources, the projects we will deliver, and how we will measure our achievements.

APPENDIX 1

Our Service Standards for 2019-20

Reference	Performance Indicator	Target
KPI 1	Percentage of correct decisions to grant an individual licence against the SIA decision-making framework.	≥99%
KPI 2	(a) Percentage of all correctly completed individual licence applications processed within 25 working days.	≥80%
	(b) Percentage of all correctly completed simple licence applications processed within 15 working days.	≥95%
	(c) Percentage of all correctly completed complex licence applications processed within 40 working days.	≥80%
KPI 3	Percentage of all correctly completed individual licence applications taking more than 40 working days to process.	≤15%
KPI 4	Percentage of eligible companies that successfully re-register or renew their Approved Contractor Status	≥90%
KPI 5	Percentage of disclosures that indicate a public safety concern dealt with within five working days	100%
KPI 6	Percentage compliance with the licensing requirements, based on random inspections of security operatives (minimum 400 random, intelligence-led and sector-based inspections per quarter)	≥98%
KPI 7	Number of intelligence-led inspections of training providers per quarter.	≥5
KPI 8	Proportion of newly approved companies with ACS status inspected within 6 months	100%

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