

ISIA Members Assessment Checklist For Guarding Organisations

Member Name:						Membership No:				Roll No:						
Location:						Number of Employees:				Visit No:		Visit Date:				
ISIA QA Scheme – QualSec – Approval level -							Activities		Guarding Services Mobile Patrol Door Supervision			Key Holding Alarm Response Event Security				
Auditors undertaking visit:										Company representative(s)						
Area Audited	Item Ref	Done <small>Y-N-N/A</small>	Auditor's Note	Imp Obs	Imp Need	Area Audited	Item Ref	Done <small>Y-N-N/A</small>	Auditor's Note	Imp Obs	Imp Need					
PSA Licence	1.1					Emergency cover	2.5									
I.S. 999 Certificate	1.2					Documents and Records	2.6									
Legal/arbitration proceedings	1.3					Competence and experience	3.1									
Tax, Welfare and Insurance	1.4					Training	3.2									
Accounts	1.5					Train-the-Trainer	3.3									
Statement of compliance	1.6					Health and Safety Training	3.4									
Attendance at meetings	1.7					Sector Specific Training	3.5									
Group activity	1.8					Supervisor Training	3.6									
Subscriptions	1.9					Rostering	4.1									
Strategic Business Plan	2.1					Licences and ID Cards	4.2									
Contracts	2.2					Radio licence	4.3									
Records and procedures	2.3, 2.4					Staff Recruitment and Screening	4.4									

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Area Audited	Item Ref	Done Y-N-N/A	Auditor's Note	Imp Obs	Imp Need	Area Audited	Item Ref	Done Y-N-N/A	Auditor's Note	Imp Obs	Imp Need
Terms and Conditions	4.5					Key holding and response	6.4				
Staff Satisfaction	4.6					Surveillance services	6.5				
Staff Turnover	4.7					Retail security	6.6				
Safety Statement	4.8					Customer care training	7.1				
Staff Policies	4.9					Middle management training	7.2				
Employee Pension Scheme	4.10					Internal auditor	7.3				
Employment Regulation Order	4.11					Satisfaction questionnaires	8.1-8.4				
Payroll Records	4.12					Employee's suggestions	8.5				
Working Time Act	4.13					ISO 9001:2000	9.1				
Internet & Phone Policy	4.14					Excellence through people	9.2				
Complaints and compliments	5.1, 5.2					Corporate responsibility	9.3				
Incident counselling	6.1					Senior management CPD	10.1				
Computerised pay and rostering	6.2					Top management commitment to QMS	10.2				
Employee health plan	6.3										
Recommendation: Recommended [] Recommended subject to Satisfactory corrective action [] Not recommended []						Signed:					
						Auditor					

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Minimum Membership Criteria		
1. Records		SILVER LEVEL
Item	Requirement	Comments
1.1	Does the organisation hold a current PSA licence for each relevant activity?	<i>Guarding Services/Door Supervisor</i>
1.2	Does the organisation have a current certificate of compliance for I.S. 999:2004?	<i>Record Certificate number and date.</i>
1.3	Does the organisation have a duly completed declaration form confirming the absence of any legal / arbitration proceedings?	<i>Any positive indication of proceedings must be referred to ISIA for their consideration</i>
1.4	Can the organisation provide evidence to show that:- <ul style="list-style-type: none"> • They have met their legal obligations in accordance with the Revenue Commissioners? • They have current paid up insurance policies relating to their undertakings applicable to security activity, including appropriate vehicle/fleet insurance? • The operational equipment used by the organisation and their subcontractors, in pursuance of contracts, conforms to Irish and/or European Standards? 	<p><i>Check last three consecutive PAYE, PRSI, and VAT payments.</i></p> <p><i>Policy No.</i></p> <p><i>From: to</i></p> <p><i>Adequacy for size of contracts.</i></p> <p><i>(Vehicle maintenance, DoE/MOT tests, compliant radios)</i></p>
1.5	Does the organisation have a copy of the most recently audited accounts?	<p><i>Date of report:</i></p> <p><i>Name and address of accountant:</i></p> <p><i>(Report seen should be the one for the end of the relevant tax year 9 months prior to this visit)</i></p>

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1.6	Does the organisation have a signed statement to indicate compliance with: <ul style="list-style-type: none">• ISIA Bye-Laws?• Code of Ethical Conduct?• Complaints and Disciplinary Procedure?• Code of Practice on Transfer of Undertakings?	<i>Recent statement required.</i>
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1.7	Has the organisation attended divisional meetings of the Association in the past 12 months?	<i>(Imp Obs if none)</i>
1.8	Is there more than one company within the same group providing security services? If yes, obtain details of Director(s)/Top Management and services provided.	<i>(Advise any relevant detail to ISIA by separate email)</i>
1.9	Is there evidence to show that annual subscriptions to the Association have been through the direct debit scheme, and that the direct debit is current?	<i>(Imp need if not)</i>
2.	Security	SILVER LEVEL
2.1	Does the organisation have a Strategic Business Plan and does it show compatibility with customer requirements?	<i>(If no plan raise Imp Obs)</i>
2.2	Does the organisation have contracts in place for each of its various activities?	<i>(Check sample of current contracts)</i>
2.3	Does the organisation have records to show: <ul style="list-style-type: none"> • Job descriptions. • The competencies, experience and qualifications of allocated staff? • The identity, skills, experience and qualifications of all site contract managers? • The provision of readily available contact information for contract managers? 	
2.4	Confirm that the organisation has appropriate procedures and records in place to enable the implementation, supervision and management of its	

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	operation.	
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2.5	What capability does the organisation have for providing additional experienced/qualified staff in emergency situations?	
2.6	Confirm that the following documents, records and procedures are in place: <ul style="list-style-type: none"> • Emergency procedures. • Daily activity reports. • Incident reports. 	
3. Training		SILVER LEVEL
3.1	Does the organisation identify the minimum level of skills, qualifications and experience required for all employees, including those required highly specialised and sensitive environments?	<p><i>(i.e. language ability, reading/writing skills, etc)</i></p> <p style="text-align: right;"><i>(See also 7.1, 7.2 & 10/1)</i></p>
3.2	Confirm that suitable induction and training processes are in place.	
3.3	Have internal trainers achieved the appropriate competence levels?	<i>(trainers must be certified to SII or ISIT Skillnet or equivalent Train the Trainer, FETAC level 5/6)</i>
3.4	Confirm that the health and Safety Officer appointed by the organisation is competent in managing safety.	<i>(how certificates from H&S Practitioners' Course or equivalent)</i>
3.5	Is there evidence to demonstrate that personnel employed in sector specific areas have been trained in those disciplines?	<i>(i.e. Retail Security, Key holding, Alarm Response, investigations & Surveillance)</i>

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4.	Human Resources	SILVER LEVEL
4.1	<p>Can the organisation demonstrate that the method of rostering is compliant with contract requirements?</p> <p>Does the organisation have a staff rostering notice for at least one week ahead?</p>	<i>(See also 6.2)</i>
4.2	Are individual employees licensed in accordance with PSA requirements?	
4.3	Where radio communications are used, is the organisation complying with Radio Licensing requirements?	
4.4	Confirm that the organisation has a suitable staff recruitment, selection, assessment and screening procedure.	<i>(Ensure that these activities have been carried out)</i>
4.5	Are there Terms and Conditions of Employment for all staff?	
4.6	Is there evidence to show that staff satisfaction assessments are being carried out?	<i>(See also 8.5)</i>
4.7	Does the organisation maintain records of staff turnover and absenteeism?	<i>(Raise Imp Need if no records in place and Imp Obs of no reviews of the information carried out)</i>
4.8	<p>Is the organisation's safety Statement prominently displayed?</p> <p>Is there a specific Safety Statement and Manual?</p> <p>Is there a separate risk assessment contained within the assignment instructions</p>	

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4.8	<p>Is the organisation's safety Statement prominently displayed?</p> <p>Is there a Safety Statement and Manual?</p> <p>Is there a separate risk assessment contained within the assignment instructions for each site?</p> <p>Record the name of the appointed Safety Officer.</p> <p>Are first aid kits available at all locations and in all vehicles?</p>	
4.9	<p>Does the organisation have policies for:</p> <ul style="list-style-type: none"> • Equal opportunities? • Bullying? • Harassment? 	<i>(Maybe in the Contract of Employment or Staff Handbook)</i>
4.10	<p>Can the organisation demonstrate that they have an Employee Pension Scheme (PRSA) in place?</p>	<i>(See also 6.3)</i>
4.11	<p>Does the organisation comply with the conditions of employment as outlined in the Security Industry Regulation Order, and in particular:</p> <ul style="list-style-type: none"> • Employee Sick Pay Scheme? • Death in Service Benefit? 	<i>(Is there any additional insurance in place to cover death in service?)</i>
4.12	<p>Review the Payroll Records for the previous six months and identify that the following</p>	<i>(It is recommended that a minimum sample of the square root of employees be looked at)</i>

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4.13	Does the organisation have records to demonstrate that they monitor that staff working hours are in compliance with the WTA?	
4.14	Are there policies in place covering telephone and computer use?	<i>(Including internet policy and use of customers equipment)</i>
5.	Customer Satisfaction.	SILVER LEVEL
5.1	Are there documented procedures in place for complaints and compliments resolution and monitoring?	<i>(See 8.1 – 8.4)</i>
5.2	Can The organisation demonstrate that complaints are recorded and receive an initial response within 3 working days?	

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Enhanced Membership Criteria		
6.	Organisation	GOLD LEVEL
6.1	Does the organisation have an Incident Counselling procedure?	
6.2	Does the organisation have a computerised management system for pay and rostering?	
6.3	Does the organisation accommodate a health plan for employees?	
6.4	Can the organisation demonstrate competence with the provision of Key Holding and Alarm Response services?	<i>(See Code of Practice)</i>
6.5	Can the organisation demonstrate competence with the provision of Investigation and Surveillance services?	<i>(See Code of Practice)</i>
6.6	Can the organisation demonstrate competence with the provision of Retail Security services?	<i>(See Code of Practice)</i>
7.	Training	GOLD LEVEL
7.1	Have all relevant employees received suitable customer care training?	<i>(Certificates for relevant courses)</i>
7.2	Are all junior and middle management adequately trained and skilled to carry out their functions professionally?	<i>(Security Team Leader – FETAC level 5 or equivalent)</i>
7.3	Is there a dedicated internal auditor in place who is competent in this area?	<i>(Internal auditor training against industry standards)</i>

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8. Customer Service		GOLD LEVEL
8.1	Do the customer satisfaction questionnaires cover as a minimum: <ul style="list-style-type: none"> • A satisfaction rating for service overall? • A satisfaction rating for each of the certificated activities? • A space for suggestions or comments? 	
8.2	Have written responses been made to all comments and suggestions from questionnaire responses?	
8.3	Has the organisation reviewed and analysed all completed questionnaires to identify opportunities for improvement?	<i>(Site meeting minutes will suffice for evidence of any concerns highlighted in a survey)</i>
8.4	Are Customer Satisfaction surveys carried out every 6 months?	
8.5	Is there evidence to show that employees are encouraged to suggest potential improvement to service provisions?	

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Enhanced Membership Criteria		PLATINUM LEVEL
9. Organisation		
Item	Requirement	Comments
9.1	Is the organisation certificated to ISO 9001:2000 by an Accredited Certification Body?	<i>Name of CB.</i> <i>Scope of Certification.</i> <i>Certificate number.</i> <i>Expiry date of certificate.</i>
9.2	Does the organisation have the national standard for HR management, Excellence through People?	
9.3	Identify how the organisation shows commitment to being a successful, responsible and progressive company contributing to the economic and social life of Ireland?	<i>(Corporate Responsibility)</i>
10. Training		PLATINUM LEVEL
10.1	What learning and development has been undertaken by senior management to enhance their skills at business and people motivation?	<i>(Relevant learning and development plan addressing all aspects of business)</i>
10.2	How are executives prepared to meet the requirement of Quality Management Systems?	<i>(ISO 9001:2000)</i>

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