



An tÚdarás Slándála Príobháidí  
The Private Security Authority

**AUDITING GUIDELINES**

**FOR**

**CERTIFICATION BODIES**

**FOR**

**PSA 31:2014**

**2015 EDITION**

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## Auditing Guidelines For PSA Requirements Document

Private Security Authority Auditing Guidelines for Certification Bodies:  
Security Guarding, Door Supervision and Event Security sectors– Phase  
1.

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# 1. AUDITING GUIDELINES

The Government of Ireland through the Private Security Services Act, 2004, established the Private Security Authority (PSA) as the national regulatory and licensing body for the private security industry. Amongst the functions of the PSA are:

- The controlling and supervising of persons providing security services and maintaining and improving standards in the provision of those services.
- Specifying standards to be observed in the provision of security services.
- Specifying qualifications or requirements for the granting of licences.

These guidelines set out the auditing requirements to be followed by approved certification bodies when auditing organisations in the Door Supervisor, Security Guard and Event Security sectors for *Phase 1 Certification*. The guidelines should be read in conjunction with the PSA requirements documents *PSA Phase 1 Licensing Requirements (PSA 28:2013)* in the case of the Door Supervisor and Security Guard sectors and *PSA Licensing Requirements for Event Security (PSA 39:2014)* for the Event Security sector. Amendments and clarifications to these guidelines will be notified to certification bodies via the PSA/Certification Bodies Auditors Forum.

Certification bodies are required to share auditing information on contractors who apply for a PSA licence. Certification bodies should ensure that any contracts or other arrangements entered into with contractors provide for the sharing of this information with the PSA. Before undertaking an audit for compliance with the PSA requirements certification bodies must notify the PSA that a contractor has sought certification to the requirements.

## **2. GENERAL**

### **2.1 PSA Phase 1 Licensing Requirements**

The PSA Requirements Document “*PSA Phase 1 Licensing Requirements*” sets out the requirements to be achieved and maintained by contractors applying for a first licence from the PSA in the Door Supervisor, Security Guard (Static) and Event Security sectors.

Contractors seeking a licence from the PSA must comply with the PSA Requirements Document “*PSA Phase 1 Licensing Requirements*”. A contractor’s compliance shall be assessed against the requirement document by PSA approved certification bodies in accordance with these guidelines.

Certification bodies must agree in writing to be bound by these auditing guidelines before the PSA will accept evidence of certification from them.

### **2.2 Audits**

**2.2.1** Contractors shall be subject to an audit from their certification body in advance of lodging an application for a licence in the relevant sectors with the PSA. The purpose of the audit is to demonstrate the contractor’s compliance with the PSA Requirements Document “*PSA Phase 1 Licensing Requirements*”.

**2.2.2** All audits shall involve a visit to the contractors address as stated on their PSA licence. Where the contractor does not hold a PSA licence the visit shall be to the address which will be stated in the application form.

Where the address on the application form is the administrative office and is outside of Ireland, a visit to the address outside of Ireland shall take place.

**2.2.3** Audits shall be conducted in accordance with these guidelines.

**2.2.4** When an audit has been completed the certification body shall notify the PSA of same and provide a copy of the audit report to the PSA.

**2.2.5** Audit reports shall be in the format set out in Annex A.

**2.2.6** At the end of the Phase 1 certification period the certification body shall audit for full compliance to *PSA Licensing Requirements – Door Supervision and Security Guard 2013* (PSA 28:2013) and/or *PSA Licensing Requirements – Door Supervisor (Event Security) and Security Guard (Event Security)* (PSA 39:2014).

**2.2.7** Where a contractor fails to obtain full compliance to *PSA Licensing Requirements – Door Supervision and Security Guard 2013* and/or *PSA Licensing Requirements – Door Supervisor (Event Security) and Security Guard (Event Security)* (PSA 39:2014) or fails to arrange an audit for same, the certification body shall notify the PSA.

## **2.3 Audit Compliance**

**2.3.1** Full compliance with “*PSA Phase 1 Licensing Requirements*” must be achieved before certification can issue.

**2.3.2** Where an organisation fails to comply with any of the requirements of the requirements document, details of the non-compliance shall be recorded in the audit report together with details of the required corrective action and the timeframe by which the corrective action is to be completed.

**2.3.3** When corrective action has been completed, this should be recorded on the audit report together with details of how the corrective action was verified by the auditor, e.g. email, re-visit, etc.

**2.3.4** When finalised audit reports should detail non-compliance and corrective action.

## **2.4 Audit Reports**

**2.4.1** An audit report shall be produced for each audit completed. The audit report shall include the following information:

- 1) The name, address and contact details of the certification body,
- 2) The name of the auditor(s) who undertook the audit,
- 3) The date of the audit(s),
- 4) The name, address, contact details and PSA licence number (if applicable) of the contractor,
- 5) A summary of the audit highlighting any non-compliances found.

**2.4.2** A copy of the audit report shall be sent by the certification body to the PSA within 21 days of the completion of the report.

The following sections set out the auditing guidelines for each clause in the PSA Requirements Document “*PSA Phase 1 Licensing Requirements*” which are to be followed by certification bodies. These guidelines should be read in conjunction with the relevant PSA Requirements Document. If a conflict arises between these guidelines and the PSA Requirements Document, guidance should be sought from the PSA.

### **3. ORGANISATION**

#### **3.1 Ownership and Screening**

**3.1.1** The name and contact details of each person who owns part of the organisation or who has control over the organisation shall be recorded together with the name and contact details of the organisations management.

Where the company is a PLC details of shareholdings are not required. However, details of senior management responsible for the licensable sectors should be recorded.

**3.1.2** The names and contact details of all directors including the company secretary shall be recorded.

The results of the screening of principals and directors including the company secretary shall be audited for compliance with screening requirements. The audit report shall indicate if screening requirements were met.

**3.1.3** The organisation shall confirm to the auditor if any principal or director is or has been a bankrupt. If confirmed, details of the bankruptcy shall be inspected in the organisation’s files and the name of the person involved and the period of the bankruptcy recorded in the audit report.

**3.1.4** The auditor shall be provided with the name and PSA licence number of any director of the organisation who is also an employee of the organisation. The PSA licence of such directors shall be inspected. The names of such directors and the details of their PSA licence should be recorded in the audit report.

**3.1.5** The organisation shall confirm to the auditor if any of the principals hold a beneficial interest in any other organisation subject to licensing by the PSA. If confirmed the details shall be inspected and the names, contact details of such principals and details of the other licensed entity shall be recorded.

**3.1.6** The organisation shall confirm to the auditor the name and contact details of any person who is a beneficiary of the organisation or any person that may hold a material interest in the organisation and

who has not been identified at 3.1.1 or 3.1.2. The details of such persons shall be recorded by the auditor in the audit report.

**3.1.7** The auditor shall be provided with the name and PSA licence number of all operational supervisory and management staff who undertake licensable activities. These details should be recorded in the audit report.

**3.1.8** The auditor shall inspect the detailed organisational chart which should show all persons involved/proposed to be involved in the organisation. The organisation should confirm to the auditor if any third parties provide or will provide regular ancillary services to or on behalf of the organisation such as sales, payroll and accounts. Where third party services are provided these should be detailed on the organisational chart. Confirmation that the organisational chart meets the requirements of 3.1.8 should be recorded in the audit report.

In the cases of services provided by third parties it is sufficient to record the name of the third party on the organisation chart.

**3.1.9** In the case of a limited company, the auditor should inspect the certificate of incorporation and record the details in the audit report. Where applicable, the certificate of business name should be inspected for each business name used by the organisation and details recorded in the audit report.

## **3.2 Screening**

**3.2.1** The auditor shall inspect the screening records of the principals and directors including the company secretary.

**3.2.2** The auditor shall verify that the screening covers the five year period prior to the incorporation/start up of the business or from school leaving.

**3.2.3** The auditor shall ensure that there are no gaps in the screening period.

**3.2.4** The auditor shall inspect all documents used in the screening process and confirm in the audit report that they meet the Phase 1 requirements.

## **3.3 Finances**

**3.3.1** The auditor shall inspect the organisation's tax clearance certificate and verify that it relates to the organisation and is in date. The following details from the tax clearance certificate shall be recorded in the audit report.

- Tax Certificate Number
- Valid Until Date

**3.3.2** The organisation shall confirm to the auditor if there are any loans to the organisation from the directors and/or shareholders. The auditor shall verify that all such loans are recorded in the organisation's accounts as loan capital. The following details shall be recorded in the audit report.

- Date of loan
- Amount of loan
- Who the loan is from
- Amount of any repayments made
- Date of repayments
- Amount outstanding at the time of the audit

**3.3.3** The auditor shall inspect the bank statements of the organisation from date of incorporation/start up to date of audit. Details of any transactions not normally associated with the start up of a new business should be queried with the organisation and details recorded in the audit report.

Where the organisation states that no bank account exists then a statement to this effect signed by the principals is required. A copy of the statement is to be attached to the audit report.

Where the organisation is not a start up business and has previously traded in non licensable activities, the organisation shall provide a copy of its profit and loss account for its last trading period.

**3.3.4** The auditor shall inspect the organisation's cash flow plan for the first 12 months of operations. A copy of the plan is to be attached to the audit report.

**3.3.5** The auditor shall inspect and record the organisation's means and method of payment of staff.

**3.3.6** The organisation shall provide the auditor with a statement signed by a principal of the organisation which details all persons who are the signatories to the organisations bank accounts. The statement shall be attached to the audit report.

## **3.4 Insurance**

**3.4.1** The auditor shall inspect the organisation's insurance quote and verify that the proposed cover is relevant to the nature of the proposed business. The audit report shall record which of the following are to be covered and the maximum liability in each area.

- Employer liability and public liability
- Motor insurance



- Deliberate act
- Fidelity
- Defamation
- Efficacy
- Consequential loss of keys
- Wrongful arrest
- Professional indemnity
- Other (please specify)

## **3.5 Premises**

**3.5.1** The auditor shall visit the administrative office of the organisation and confirm that all records, business documents, certificates, correspondence and files necessary for the proper conduct of business are kept in a secure confidential manner.

**3.5.2** The auditor shall inspect the organisation's plan of the administrative office identifying current and proposed security features.

**3.5.3** The auditor shall confirm that the administrative office at 3.5.1 is protected by an intruder alarm system which has been installed and maintained in accordance with prevailing PSA requirements. The auditor shall inspect the organisation's written records and confirm that it contains the name, address and contact number of the intruder alarm installer as well as details of the maintenance and service history. The name and PSA licence number of the installer shall be recorded in the audit report.

**3.5.4** The auditor shall confirm that the alarm is remotely monitored by one of the following:

- (a) a PSA licensed monitoring centre. The auditor shall inspect the organisation's written record of the name, address and contact number of the monitoring centre providing this service. The name and PSA licence number of the monitoring centre shall be recorded in the audit report.
- (b) a monitoring centre certified to EN 50518 or equivalent standard where the administrative office is located outside of Ireland.
- (c) a security guard (static) service provided at the premises where the administrative office is located where this security guard service monitors the intruder alarm on the premises.

**3.5.5** The auditor shall inspect the organisation's proposals for keeping all confidential records safe and secure and be satisfied that the proposals are fit for purpose.

**3.5.6** The auditor shall inspect the organisation's proposals to protect electronic records against unauthorised access, alteration, disclosure, loss or destruction and be satisfied that the proposals are fit for purpose.

**3.5.7** The organisation shall provide the auditor with a copy of their procedures on the retention of records. The procedures must be in accordance with the recommendations of the Office of the Data Protection Commissioner.

## **3.6 Compliance with Legislation**

**3.6.1** The organisation shall provide the auditor with a statement, signed by a principal of the organisation, confirming its intention to comply with all relevant legislation and shall state specifically its intention to comply, where relevant, with the following:

- Planning and Development Act(s)
- Licensing of Indoor Event Act(s)
- Code of Practice for Safety at Indoor Concerts (Dept of the Environment and Local Government:1998)
- Code of Practice for Safety at Outdoor Pop Concerts and other Outdoor Musical Events (Dept. Of Education: 1996)
- Code of Practice for Safety at Sports Grounds (Dept. Of Education: 1996)
- Health, Safety and Welfare at Work Act(s).
- Organisation of Working Time Act(s).
- Private Security Services Acts.
- Data Protection Acts.
- Taxation and Social Welfare Acts.
- Payment of Wages Act
- Immigration Acts 1999 to 2004

The statement at **Annex B** shall be attached to the audit report

## **4. STAFFING**

### **4.1 General**

**4.1.1** The auditor shall inspect the organisation's staff recruitment policy document.

**4.1.2** The auditor shall inspect the organisation's screening policy document and confirm that the screening procedures meet with the PSA requirements.

**4.1.3** The auditor shall inspect the personnel files for each principal

and confirm that each file includes completed screening records.

**4.1.4** The auditor shall inspect the organisation's terms of employment document.

**4.1.5** The auditor shall inspect the organisation's employee code of conduct document.

## **4.2 Training**

**4.2.1** The auditor shall inspect the organisation's training policy document and verify that it has been authorised at senior management level within the organisation. The policy shall comply with the training requirements contained in *PSA Licensing Requirements – Door Supervision and Security Guard 2013* (PSA 28:2013) and/or *PSA Licensing Requirements – Door Supervisor (Event Security) and Security Guard (Event Security)* (PSA 39:2014).

**4.2.2** The organisation shall advise the auditor of the name of the person appointed as the training administrator. The name together with any relevant qualifications shall be recorded in the audit report.

**4.2.3** The auditor shall confirm that the training policy includes proposals on induction training and on-site training.

**4.2.4** The organisation shall provide the auditor with details of the procedures in place for the maintenance of training records.

**4.2.5** Details of the organisation's qualified trainer (if applicable) shall be recorded in the audit report. All training shall be provided in accordance with clauses 5 of PSA 28:2013 and/or PSA 39:2014

## **4.3 Uniform**

**4.3.1** The auditor shall inspect a specimen of the organisation uniform and confirm that it meets the requirements under clauses 4.3.2 and 4.3.5 of the PSA Requirements Document. Where the contractor is to engage in the provision of Event Security services the auditor shall verify that the uniform meets the requirements under 4.3.3 and 4.3.4 of the PSA:31 2014.

## **5. OPERATIONS**

### **5.1 Risk Assessments and Safety Statement**

**5.1.1** The auditor shall inspect the organisation's risk assessment procedures document.

**5.1.2** The auditor shall inspect the organisation's sample risk assessment survey.

**5.1.3** The auditor shall inspect the organisation's safety statement and confirm that it contains the following:

- (a) Reference to the Safety, Health and Welfare at Work Act, 2005.
- (b) Reference to the Safety, Health and Welfare at Work (General Application) Regulations, 2007.
- (c) Signature of principal(s).
- (d) Organisation's policy statement included.
- (e) Resources for dealing with safety, health and welfare issues identified.
- (f) Safety Representative(s) identified.
- (g) Fire Warden(s) identified.
- (h) First Aider(s) identified
- (i) Assembly point(s) identified.

**5.1.4** The auditor shall inspect the organisation's sample event security management plan where required.

### **5.2 Command and Control System**

**5.2.1** The organisation shall provide the auditor with a copy of their proposals for a command and control system. The auditor shall confirm that the proposals are sufficient to meet the scope of the services to be provided and that the following information is contained therein:

- (a) the location of the command and control system,
- (b) if the system is provided by a third party,
- (c) the facilities available,
- (d) the security of the command and control system,
- (e) the details of how the organisation shall meet the Command and Control System requirements of PSA 28:2013 and/or PSA 39:2014 once the organisation obtains contracts.

**5.2.2** The auditor shall inspect the organisation's command and control system manual and confirm that it covers procedures for the operation of the command and control system and procedures for dealing with all foreseeable contingencies.

**5.2.3** For an organisation seeking an Event Security licence the auditor shall inspect the organisation's proposals for command and control

during periods when a venue is in lockdown including pre and post event building stages.

### **5.3 Assignment Instructions and Incident Report Log**

**5.3.1** The auditor shall inspect the organisation's sample assignment instructions.

**5.3.2** The auditor shall inspect the organisation's sample incident report log.

**Annex A Sample Phase 1 Audit Report**

<b>Name of Certification Body</b>			
<b>Address</b>			
<b>Phone No</b>		<b>Email Address</b>	
<b>Name of Auditor(s)</b>			<b>Date of Audit</b>

<b>Name of Contractor</b>			
<b>Address</b>			
<b>Phone No</b>		<b>Email Address</b>	
<b>Contact Person</b>			<b>PSA Licence No. (if applicable)</b>
<b>Sectors For Which Certification Is Required</b>			<b>Date PSA Notified That Contractor Has Applied For Certification</b>
			<b>Date Copy Of Audit Report Sent To PSA</b>



Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
3.1.3 Details of any bankrupt person:					
3.1.4 Details of any director who is an employee:					
3.1.5 Details of any beneficial interest in another organisation:					



<b>Requirements</b>	<b>Audit Outcome</b>	<b>Corrective Action Required</b>	<b>Timeframe for Corrective Action</b>	<b>Corrective Action Completed</b>	<b>Date Verified and Means of Verification</b>
3.1.6 Details of any person who has a beneficiary or material interest in the organisation:					
3.1.7 Name and PSA licence number of all supervisory and management staff who undertake licensable activities:					
3.1.8 Organisation chart and details of third party services:					
3.1.9 Details of certificates of incorporation and business name:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<b>3.2 Screening</b>					
3.2.1 Screening records inspected:					
3.2.2 Required screening periods met:					
3.2.3 Details of any gaps in screening:					
3.2.4 Screening documents meet requirements:					

<b>Requirements</b>	<b>Audit Outcome</b>	<b>Corrective Action Required</b>	<b>Timeframe for Corrective Action</b>	<b>Corrective Action Completed</b>	<b>Date Verified and Means of Verification</b>
<b>3.3 Finances</b>					
<b>3.3.1 TCC inspected:</b>  TCC No:  Valid Until:					
<b>3.3.2 Details of any director or shareholder loans:</b>					
<b>3.3.3 Bank Statement or Profit &amp; Loss Account::</b>					
<b>3.3.4 Cash Flow Plan:</b>					
<b>3.3.5 Details of means and method of paying staff:</b>					
<b>3.3.6 Statement on bank signatories:</b>					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<b>3.4 Insurance</b>					
3.4.1 Details of insurance:					
<b>3.5 Premises</b>					
3.5.1 All records, etc stored in secure confidential manner:					
3.5.2 Plan of office inspected and security features identified:					
3.5.3 Details of intruder alarm:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
3.5.4 Details of alarm monitoring:					
3.5.5 Safety and security of records fit for purpose:					
3.5.6 Protection of electronic records fit for purpose:					
3.5.7 Procedure on the retention of records:					
<b>3.6 Compliance with Legislation</b>					
3.6.1 Statement on compliance with legislation:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<b>4.1 Staffing (General)</b>					
4.1.1 Staff Recruitment Policy Document:					
4.1.2 Screening Policy Document:  PSA Requirements met:					
4.1.3 Personnel files inspected:					
4.1.4 Terms of Employment Document:					
4.1.5 Employee Code of Conduct Document:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<b>4.2 Training</b>					
4.2.1 Training Policy Document:  PSA Requirements met:					
4.2.2 Details of Training Administrator:					
4.2.3 Induction training and on-site training:					
4.2.4 Maintenance of training records:					
4.2.5 Details of qualified trainer where applicable, All training has been provided in accordance with Clauses 5 of PSA 28 and /or PSA 39					
<b>4.3 Uniform</b>					
4.3 Uniform:  Meets Requirements for relevant Sectors:					

<b>Requirements</b>	<b>Audit Outcome</b>	<b>Corrective Action Required</b>	<b>Timeframe for Corrective Action</b>	<b>Corrective Action Completed</b>	<b>Date Verified and Means of Verification</b>
<b>5.1 Risk Assessments &amp; Safety Statement</b>					
<b>5.1.1</b> Risk Assessment Procedures Document:					
<b>5.1.2</b> Risk Assessment Survey:					
<b>5.1.3</b> Safety Statement:  PSA requirements met:					
<b>5.1.4</b> Event Security Management plan if required					
<b>5.2 Command &amp; Control System</b>					
<b>5.2.1</b> Command & Control System:  Sufficient for scope of services:					



Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
5.2.2 Command & Control System Manual:					
5.2.3 Command and control during periods when a venue is in lockdown (Event security).					
<b>5.3 Assignment Instructions &amp; Incident Report Log</b>					
5.3.1 Assignment Instructions:					
5.3.2 Incident Report Log:					

## Annex B - Declaration of Compliance with Legislation

To be completed not more than 2 weeks prior to annual PSA 31:2013 Audit

Company: \_\_\_\_\_

Address: \_\_\_\_\_

Registration No.: \_\_\_\_\_ PSA License No.: \_\_\_\_\_

I/We confirm our intention to be in full compliance with all legislation including but not limited to the legislation indicated below

Health, Safety and Welfare at Work Act(s)	Compliant	<input type="checkbox"/>
Organisation of Working Time Act(s)	Compliant	<input type="checkbox"/>
Private Security Services Acts	Compliant	<input type="checkbox"/>
Data Protection Acts	Compliant	<input type="checkbox"/>
Taxation and Social Welfare Acts	Compliant	<input type="checkbox"/>
Payment of Wages Act	Compliant	<input type="checkbox"/>
Planning and Development Acts	Compliant	<input type="checkbox"/>
Licensing of Indoor Event Acts	Compliant	<input type="checkbox"/>
Code of Practice for Safety at Indoor Concerts	Compliant	<input type="checkbox"/>
Code of Practice for Safety at Outdoor Concerts	Compliant	<input type="checkbox"/>
Code of Practice for Safety at Sports Grounds	Compliant	<input type="checkbox"/>

Authorised Signatory \_\_\_ Date: \_\_\_\_\_

I/We confirm that we are in full compliance with all current legally enforceable agreements and/or legislation in respect of rates of pay and all associated conditions

Authorised Signatory \_\_\_\_\_ Date: \_\_\_\_\_