



An tÚdarás Slándála Príobháidí
The Private Security Authority

AUDITING GUIDELINES

FOR

CERTIFICATION BODIES

FOR

PSA 33:2014

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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 areas regulated by the PSA are Alarm Monitoring Centres and CCTV Monitoring Centres. The PSA has prescribed *PSA Licensing Requirements – CCTV Monitoring and Alarm Monitoring Centres (PSA 33:2014)* as the standard to be observed by contractors in both sectors.

These guidelines set out the auditing requirements to be followed by approved certification bodies when auditing organisations in the CCTV Monitoring and Alarm Monitoring sectors for *PSA 33:2014* certification. The guidelines should be read in conjunction with the PSA requirements document *PSA Licensing Requirements – CCTV Monitoring and Alarm Monitoring Centres (PSA 33:2014)*.

The guidelines will be reviewed on a regular basis and updated versions will be provided to certification bodies and made available on our website, www.psa.gov.ie.

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.

2. GENERAL

2.1 PSA Licensing Requirements

The PSA requirements document “*PSA Licensing Requirements - CCTV Monitoring and Alarm Monitoring Centres (PSA 33:2014)*”, hereinafter referred to as PSA 33:2014, sets out the requirements to be achieved and maintained by contractors applying for a licence from the PSA in the CCTV Monitoring and Alarm Monitoring sectors.

Contractors seeking a licence from the PSA must comply with PSA 33:2014. 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 by an approved certification body at least once every 12 months or at such intervals as the PSA may prescribe. The purpose of the audit is to verify compliance with PSA 33:2014.

Non Compliance: Category 1

2.2.2 The PSA may request certification bodies to focus their audit on certain areas of an organisations’ activities. Such requests will be within the terms of PSA 33:2014.

2.2.3 All audits shall involve a visit to the contractors address as stated on their PSA licence.

Where the address visited is not as stated on the licence, the auditor shall confirm that the address on the licence is the registered address of the organisation. If it is not the registered address this should be recorded in the audit report. In such instances the address visited should be the administrative office of the organisation.

Where the monitoring centre is not the administrative office, the documentation to be inspected should be brought to the monitoring centre. Where this does not happen then visits must take place to both the administrative office and the monitoring centre.

Where the address on the licence is outside of Ireland a visit to the contractor’s administrative office in Ireland shall occur. Where the overseas office has access to Irish client files the organisation must provide a statement confirming that the requirements of PSA 33:2014 are being met.

Where the administrative address is outside of Ireland, a visit to the address outside of Ireland shall take place.

Where an organisation has more than one administrative office all records required for audit purposes should be made available at a single location on the date(s) of the audit. If this is not possible, audits should rotate between the different administrative offices of the organisation.

2.2.4 Organisations that change their legal status shall be subject to an audit. A change in legal status includes changing from a sole trader to a company, sole trader to partnership, partnership to company or unlimited company to limited company.

Where a merger of two businesses takes place and a new entity formed an audit is required.

An audit is not required where;

- (a) one organisation takes over another organisation, both organisations are PSA licensed and there is no change in the legal status of the first organisation.
- (b) where a change in legal status occurs and all partners, directors and shareholders of the new entity were vetted by the PSA as part of the previous entity or entities.

2.2.5 Organisation that change address shall be subject to a visit at their new address before their certification can be amended.

If an audit is due, the date of the audit may be brought forward and an examination of the new address undertaken. The audit shall ensure that the new address meets the requirements of PSA 33:2014.

2.2.6 Audits shall be conducted in accordance with these guidelines. Where the guidelines require the recording of an action or other matter this shall be recorded in the audit report.

2.2.7 Where PSA 33:2014 or these guidelines require an auditor to inspect or sample records or other documents the auditor shall select at random from a list of such records or documents the ones to be audited. Under no circumstances shall an auditor accept records chosen or selected by the organisation.

In selecting records or documents auditors shall select a large enough sample as to be satisfied that a representative selection has been chosen. Auditors shall, where possible, select different samples at subsequent audits.

The PSA recommends that any sample size should equal the square root of the total training records and the square root of the total screening records, as a minimum. Where the sample size exceeds 25 the Auditor may stop at 25 if satisfied that a pattern of compliance has been established from the selected sample.

The name of each sample record/document shall be recorded.

2.2.8 When an organisation has successfully completed an audit they shall be issued with a certificate of compliance/registration certifying same. Certificates shall be issued for a maximum period of 2 years.

2.2.9 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 on request.

Note: Provision of a copy of the certificate of compliance/registration shall be accepted as notification.

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

2.2.11 Where a contractor fails to obtain full compliance to PSA 33:2014 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 33:2014 in accordance with **2.4** must be achieved before certification can be issued.

2.3.2 Where an organisation fails to comply with any of the requirements of PSA 33:2014, details of all the non-compliances shall be recorded in the audit report together with details of the required corrective actions 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 all non-compliances and corrective actions.

2.4 Audit Non-Conformances

2.4.1 Where a contractor fails to meet any of the requirements of PSA 33:2014 this shall be recorded as a non-compliance in accordance with the categories specified in these auditing guidelines. Organisations have 5 weeks from date of audit to rectify a non-conformance.

The following criteria shall apply to non-conformances.

1) Organisations shall not pass an audit where:

- A category 1 non-conformance is present.
- 3 or more category 2 non-conformances are present.
- 6 or more category 3 non-conformances are present.
- A combination of 6 or more category 2 and category 3 non-conformances are present.

All non-conformances at 1) must be closed before an audit is passed.

2) An organisation may pass an audit where:

- Less than 3 category 2 non-conformances are present.
- Less than 6 category 3 non-conformances are present.
- A combination of less than 6 category 2 and category 3 non-conformances are present.

Organisations are still required to rectify all non-conformances. However, any follow up action by the auditor may be deferred until the next audit. If at the next audit a non-conformance has not been rectified the non-conformance category shall move up a level.

3) Section 1 of the above criteria continues to apply where an organisation rectifies some of their non-conformances. An organisation may not move from section 1 to section 2 by virtue of rectifying a non-conformance.

2.4.2 Where the 5 week period referred to in **2.4.1** has elapsed and an organisation has not passed an audit, the certification body shall write to the organisation requiring them to rectify all outstanding matters within 14 days and advising that failure to do so within 7 days of the expiration of the 14 day timeframe, will result in their certification being suspended for a period of 3 months and the PSA being notified of same.

2.4.3 On receipt of notification that an organisations certification has been suspended the PSA will commence compliance action against the organisation. This action may result in the suspension or revocation of an organisations licence.

2.5 Audit Reports

2.5.1 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(s) of the audit(s),
- 4) The name, address, contact details and PSA licence number of the contractor,
- 5) A summary of the audit highlighting any non-conformities found.
- 6) Update report on screening and training records reviewed to date (See **Annex B**).

2.5.2 A copy of the audit report shall be sent by the certification body to the PSA upon request. The report should be submitted with 14 days of receipt of such a request.

2.6 Certification

2.6.1 All certificates for PSA 33:2014 issued by certification bodies shall contain the organisations address as recorded on the organisations PSA licence.

PART 1 – COMMON PROVISIONS

3. ORGANISATION

3.1 Ownership

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 in the audit report together with the name and contact details of the organisation's 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.

Non Compliance: Category 3

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 confirm that screening requirements were met. Where a director and/or the company secretary has been with the organisation for a period in excess of 5 years no further screening is required. A declaration attesting to this must be signed by the organisation's accountant or solicitor (See **Annex C**).

Non Compliance: Category 1 for breaches of screening requirements

3.1.3 The auditor shall be provided with the name and PSA licence number of any director of the organisation who is also an operational 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.

If, on the day of the audit, the PSA licence of a director is not available because the director is on operational duties, a copy of the licence may be inspected.

Non Compliance: Category 1

3.1.4 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.

Non Compliance: Category 3

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.

Non Compliance: Category 3

3.1.6 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.

Non Compliance: Category 1

3.1.7 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.

Non Compliance: Category 1

3.1.8 The organisation shall provide the auditor with a detailed organisational chart showing all persons involved in the management and operation of the business, and to include all persons and third parties, including consultants, providing regular ancillary services to the business such as sales, client liaison, consultancy services, payroll, training and accounting services.

In the cases of services provided by third parties it is sufficient to record the name of the third party on the organisation chart. A copy of the organisation chart should be attached to the audit report.

Non Compliance: Category 3

3.2 Finances

3.2.1 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
- Issue Date
- Valid Until Date

If the organisation has applied for a tax clearance certificate but has not obtained one because of delay by the Revenue Commissioners, the organisation may receive additional time to obtain same. Evidence that an

application has been made to the Revenue Commissioners must be provided before such an extension is granted.

The PSA will provide guidance to the certification bodies on the time periods permitted.

Non Compliance: Category 1

3.2.2 The organisation shall confirm in writing to the auditor whether or not 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 time of audit

Non Compliance: Category 2

3.2.3 Cash flow statements shall be required from:

- New organisations who are having their first PSA 33 audit,
- Organisations who are unable to provide a tax clearance certificate on the day of the auditors visit,
- Organisations where the PSA request one be provided as part of the audit.

The auditor shall inspect the organisation's cash flow statement for the current accounting period and for new organisations the cash flow forecast for the first 12 months. A copy shall be attached to the audit report.

Non Compliance: Category 2

3.2.4 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.

Non Compliance: Category 2

3.3 Insurance

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

- Employer liability and public liability
- Product Liability
- Motor insurance
- Efficacy
- Other (please specify)

Non Compliance: Category 1

3.4 Premises

3.4.1 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.

Where records are maintained on computer based systems the auditor shall request evidence from the organisation that all firewalls and other security systems are current and within licence.

Where the organisation's administrative office is different from the location of the monitoring centre all records required for audit purposes may be made available at the monitoring centre location. If this is not possible a visit to both locations shall be required.

Non Compliance: Category 2

3.4.2 The auditor shall confirm that the administrative office at 3.4.1 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.

Non Compliance: Category 2

3.4.3 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/BS 5979 or equivalent standard recognised by the PSA 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.

Non Compliance: Category 2

3.5 Organisation Information

3.5.1 The auditor shall inspect the organisation's letterheads, advertising, promotional documentation and contracts and confirm the presence of the organisations PSA licence number(s) for all categories for which the organisation is licensed.

The auditor shall select at random a contract to confirm this requirement is met with regards to contracts.

If the organisation provides licensable activities in a sector for which it does not hold a licence this shall be brought to the attention of the organisation and the PSA.

Non Compliance: Category 3

3.5.2 For the purposes of 3.5.2 and 3.5.3 of PSA33:2014, the auditor shall select at random a sample of contracts for inspection.

Where the provision of a contract is required by a client, the auditor shall inspect the organisation's written contracts and confirm that it includes the following for the provision of the service :

- Total Costing of the service (including VAT)
- The arrangements for payment
- Obligations to the client (surveys, assignment instructions, compliance with industry standards or codes of practice)
- Sub-contracting agreements where applicable
- Period of contract (including reference to requirements for termination and any associated exclusions, penalty clauses or restrictions)
- Agreed levels of response, means of reporting and exchange of

- information
- Safety Statement
 - Complaints procedures and complaints management procedures
 - Agreed scope of service to be provided

Non Compliance: Category 2

3.5.3 The auditor shall confirm that contracts are signed by a principal of the organisation and by the client and a copy retained by the organisation. Where the client has not signed the contract the auditor shall confirm that evidence of postage of the contract to the client by registered post/e-mail delivery is available.

Non Compliance: Category 2

3.5.4 Where the organisation has engaged a sub-contractor to provide licensable services to a client the auditor shall record details of the sub-contractors name, PSA Licence number and expiry date in the audit report.

Where unlicensed contractors have been used the certification body shall record details in the audit report and bring to the attention of the PSA.

Non Compliance: Category 1

3.6 Quotations in pursuance of Contracts or Business

3.6.1 The auditor shall select at random a sample of written quotations and confirm that they comply with the requirements of clauses **3.6.1** and **3.6.2** of PSA 33:2014.

Non Compliance: Category 2

3.7 Compliance with Legislation

3.7.1 The organisation shall provide the auditor with a current statement, signed by a principal of the organisation, confirming compliance with all relevant legislation and shall state specifically its compliance, where relevant, with the following:

- 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.
- National and EU product compliance legislation.

The statement (see **Annex D**) shall be dated within 2 weeks prior to the audit date and shall be attached to the audit report.

Health, Safety and Welfare at Work Act(s): Organisations are required to keep recorded evidence that each employee is aware of Health & Safety Policy.

Organisation of Working Time Act(s): A number of employee records (timesheets/rosters) should be inspected to ascertain the number of hours worked over a period of time.

Non Compliance: Category 2

4. STAFFING

4.1 Selection and Pre Employment Screening

4.1.1 General

4.1.1.1 The auditor shall inspect the organisation's pre employment records to confirm enquiries in respect of competency and good character have been completed.

Non Compliance: Category 3

4.1.1.2 The auditor shall inspect the organisation's pre employment records and confirm the required screening of all relevant persons offered employment.

In addition to persons providing licensable activities, relevant persons includes any person who will have access to details of security duties, call handling or security services provided to clients as well as any person supervising relevant persons.

When selecting records for inspection auditors should not limit the selection to persons providing licensable activities. Persons in all relevant employment areas should be included.

Non Compliance: Category 1

4.1.1.3 The auditor shall confirm the existence of personnel files for persons subject to screening and shall confirm that records previously examined continue to be maintained. The personnel file checklist at **Annex E** shall be completed.

Non Compliance: Category 1

4.1.1.4 The auditor shall inspect the personnel files and confirm that they include the required statement of authorisation and acknowledgement document signed and dated by employees in accordance with clause **4.1.1.4** of PSA 33:2014 requirements.

Non Compliance: Category 2

4.1.1.5 The auditor shall confirm that, in the case of probationary employment, the time period has not exceeded 9 months.

Non Compliance: Category 3

4.1.1.6 The auditor will inspect the certified copies of relevant personnel and screening documentation held on the personnel file.

Non Compliance: Category 1

4.1.1.7 The auditor will include in the inspection the personnel files of part-time employees and directors and confirm that such files include completed screening records.

Non Compliance: Category 1

4.1.1.8 The auditor will include in the inspection the personnel files of temporary and ancillary staff engaged in relevant employment and confirm that such files include completed screening records.

Non Compliance: Category 1

4.1.1.9 The auditor shall confirm that screening periods are in accordance with clause **4.1.1.9** of PSA 33:2014.

Non Compliance: Category 1

4.1.1.10 The auditor shall inspect the organisations provisional employment procedures to ensure the satisfactory monitoring and supervision of such personnel during the provisional period of employment.

Non Compliance: Category 1

4.1.1.11 The auditor shall inspect personnel files and confirm that screening has been completed within the time frame required in clause **4.1.1.11** of PSA 33:2014.

Non Compliance: Category 1

4.1.1.12 The auditor shall confirm that where screening for a shorter period has occurred it is carried out in accordance with clause **4.1.1.12** of PSA 33:2014.

Non Compliance: Category 1

4.1.1.13 Where applicable, auditors shall confirm that employees have provided permissions to former employers as required in accordance with clause **4.1.1.13** of PSA 33:2014.

Non Compliance: Category 1

4.1.2 Pre Employment Interview

4.1.2.1 The auditor shall inspect the pre employment interview record and confirm the inclusion of the following documentation:

- Details of previous employers and employment dates,
- Contact details for previous employers,
- Dates of relevant Training and Experience
- Applicant's current address,
- Dates of unemployment.

Non Compliance: Category 2

4.1.2.2 The auditor shall confirm that the personal interview has been carried out and the requirements relating to clause **4.1.2.2** of PSA 33:2014 have been met.

Non Compliance: Category 2

4.1.2.3 The auditor shall confirm that interview notes are held on the personnel file and that the requirements of clause **4.1.2.2** of PSA 33:2014 have been met.

Non Compliance: Category 2

4.1.3 Character and other References

4.1.3.1 The auditor shall inspect the personnel file to ensure full compliance with the screening requirements set out in clause **4.1.3.1** of PSA 33:2014.

Non Compliance: Category 1

4.1.3.2 The auditor shall confirm that where references have been taken by phone the requirements set out in clause **4.1.3.2** of PSA 33:2014 have been followed.

Non Compliance: Category 1

4.1.3.3 The auditor shall inspect the third party documents provided for screening purposes and confirm that they are in accordance with clause **4.1.3.3** of PSA 33:2014.

Non Compliance: Category 1

4.1.3.4 The auditor shall confirm that where records are not available the period has been treated as a gap.

Non Compliance: Category 1

4.1.3.5 The auditor shall confirm the procedures in place, where gaps exist, meet the requirements set out in PSA 33:2014.

In the case of gaps in the screening record which cannot be independently verified organisations may obtain written statements from personal referees provided that:

- the referee has personal knowledge of the person being screened;
- except in the case of a family run business, the referee is not a family member or personal friend of the employee
- the referee is not a family member or personal friend of the employee;
- the screening is on a month to month basis for the period concerned;
- the organisation has verified the details of the statements and referees.

In such circumstances the auditor shall inspect the written statements from the personal referees and be satisfied that the above requirements are met.

Non Compliance: Category 1

4.1.4 Evidence of Qualifications/Awards

4.1.4.1 The auditor shall confirm that relevant qualifications/awards have been received. Where possession of a PSA Licence is used as evidence of holding the required awards, the auditor shall confirm that the licence details were provided prior to employment commencing.

Non Compliance: Category 1

4.1.5 Work Permits, Authorisations and Permissions

4.1.5.1 The auditor shall inspect the organisation's register of employees who have applied for or hold permission to work in the State and confirm that the organisation is compliant with all requirements of clause **4.1.5** of PSA 33:2014. The register should contain details of the PSA licence number and expiry date of all those on the register.

Non Compliance: Category 2

4.1.5.2 The auditor shall confirm that all necessary records associated with the required documentation for work visa applications and permissions to work are in place.

Non Compliance: Category 2

4.1.5.3 The auditor shall confirm that all permissions to work in the State are current.

Non Compliance: Category 1

4.1.6 Maintenance and Retention of Records

4.1.6.1 The auditor shall inspect the records of employee's details and confirm that they comply with the requirements contained in clause **4.1.6.1** of PSA 33:2014.

Non Compliance: Category 2

4.1.6.2 The organisation shall provide the auditor with details of the storage arrangements for employee records. Where records are accessed by computer this shall include details of firewalls and other security measures. The auditor shall satisfy them self that such storage arrangements are in accordance with clause **4.1.6.2** of PSA 33:2014. The auditor shall ensure that the organisation's processes are in line with Information Note PSA 36, see **Annex F**.

Non Compliance: Category 2

4.1.6.3 The auditor shall confirm that details of current employees are held in accordance with clause **4.1.6.3** of PSA 33:2014.

Non Compliance: Category 2

4.1.7 Screening and Acquired Companies

4.1.7.1 Where applicable, the auditor shall confirm that screening has taken place in accordance with clause **4.1.7.1** PSA 33:2014.

Non Compliance: Category 1

4.2 Terms of Employment

4.2.1 The auditor shall confirm that employees receive a contract of employment and staff handbook.

Non Compliance: Category 1

4.2.2 The auditor shall confirm that terms of employment are in accordance with clause 4.2.2 of PSA 33:2014.

Organisations are required to produce written evidence that employees have either been shown the organisations policies in relation to recruitment, equality, communications, etc., or have been provided with copies of same.

*Note: Any provisional period subject to screening under **4.2.2 (e)** should not exceed the probationary employment periods set out at **4.1.1.5** of PSA 33:2014.*

Non Compliance: Category 2

4.3 Code of Conduct

4.3.1 The auditor shall confirm that the organisation's code of conduct is in accordance with clauses **4.3.1** and **4.3.3** of PSA 33:2014.

Non Compliance: Category 2

4.3.2 The auditor shall inspect personnel files and confirm that the code of conduct has been signed by employees including any employees who have joined the organisation under the Transfer of Undertakings (Protection of Employment) Regulations (TUPE).

Non Compliance: Category 2

4.4 Identification

4.4.1 The auditor shall confirm that the organisation complies with the requirements on identity badges contained in clause **4.4.1** of PSA 33:2014.

Non Compliance: Category 1

4.4.2 The organisation shall provide evidence that all employees have been instructed on PSA requirements for wearing an identity badge.

Non Compliance: Category 2

4.4.3 Where the organisation provides its own identity badges the auditor shall confirm that the identity badge is reviewed in accordance with clause **4.4.3** of PSA 33:2014.

Non Compliance: Category 2

4.4.4 Where the organisation provides its own identity badges the auditor shall inspect the organisation's arrangements for the withdrawal of organisation issued identity badges from employees.

Non Compliance: Category 3

5. TRAINING

5.1 Training Policy and Responsibility

5.1.1 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 clause **5.1.3** of PSA 33:2014.

Non Compliance: Category 1

5.1.2 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.

Non Compliance: Category 3

5.1.3 The auditor shall verify that the training policy includes procedures to assess staff and provide additional training.

Non Compliance: Category 2

5.2 Refresher Training

5.2.1 The auditor shall inspect the training procedures and confirm that processes are in place to assess the effectiveness of all employees and that any required refresher training is carried out and recorded in accordance with clause **5.2.1** of PSA 33:2014.

Non Compliance: Category 2

5.3 Specialist Training

5.3.1 The auditor shall inspect the training records and confirm that employees required to carry out duties or use equipment of a specialist nature have been certified as having received this training in accordance with clause 5.3.1 of PSA 33:2014.

Non Compliance: Category 2

5.4 Supervisory and Management Training

5.4.1 The auditor shall inspect the organisation's supervisory and management training records and confirm that they are in accordance with clause **5.4.1** of PSA 33:2014

Non Compliance: Category 2

5.5 Training Records

5.5.1 The auditor shall inspect the organisation's training records and confirm that they are maintained in accordance with section **5.5** of PSA 33:2014.

Non Compliance: Category 2

6. OPERATIONS

6.1 Security

6.1.1 The auditor shall inspect the organisation's procedures for staff dealing with or having access to information and or property during the course of their employment and confirm that they meet the requirements of clause **6.1.1** of PSA 33:2014.

Non Compliance: Category 2

6.1.2 The auditor shall inspect the organisations procedures for ensuring the confidentiality and security of any details relating to client's business operations, equipment and procedures or practices, premises, residence or assets and confirm that they meet the requirements of clauses **6.1.2** and **6.1.3** of PSA 33:2014

Non Compliance: Category 2

6.1.4 The auditor shall confirm that the organisation's procedures in respect of the holding and surrender of client keys are in accordance with clause **6.1.4** of PSA 33:2014.

Note: Where the holding of keys requires an organisation to provide a call out service to clients premises or similar facility the organisation shall hold a Private Security Services Licence in the Security Guard (Static) sector.

Non Compliance: Category 3

6.1.5 The auditor shall inspect the organisation's records of visits to client premises and confirm that the details held in the records and their subsequent disposal meet the requirements of clause **6.1.5** of PSA 33:2014

Non Compliance: Category 3

6.2 Specialist Knowledge

6.2.1 The auditor shall confirm that the storage and accessibility of product related technical manuals is in accordance with clause **6.2.1** of PSA 33:2014

Non Compliance: Category 2

6.3 Vehicles and Equipment

6.3.1 The auditor shall inspect a sample of the organisation's vehicle(s) and confirm that they comply with the requirements of clause **6.3.1** of PSA 33:2014.

Non Compliance: Category 3

6.3.2 The auditor shall request details of all staff involved in the driving of vehicles and inspect the employees files to ensure that the requirements of clause **6.3.2** of PSA 33:2014 are met.

Non Compliance: Category 2

6.3.3 The auditor shall confirm that vehicles and equipment are in working order and shall inspect the maintenance and service documentation and confirm that maintenance and service is in accordance with manufacturer's recommendations.

Non Compliance: Category 3

7. COMPLIANCE WITH PSA LICENSING

7.1 Compliance with Standards

7.1.1 The auditor shall record any instances of non-compliance with PSA 33:2014 which come to their attention in the audit report.

7.1.2 The auditor shall confirm that a period not exceeding 12 months has passed since the last audit. If a period exceeding 12 months has passed the reasons for the extended period shall be recorded. Where the extended period was due to circumstances under the organisation's control it shall be recorded as a non-compliance.

Non Compliance: Category 1

7.1.3 The auditor shall confirm that the organisation has agreed that a copy of the audit report shall be provided to the PSA.

Non Compliance: Category 1

7.1.4 The auditor shall confirm that the organisation has provided the permissions required in clause **7.1.4** of PSA 33:2014.

Non Compliance: Category 1

7.2 PSA Licensing Requirements

7.2.1 Not applicable to certification audits.

7.2.2 The auditor shall inspect the organisation's contingency plan and confirm that it contains the following details in accordance with clause **7.2.2** of PSA 33:2014:

- a) Location of contingency facility
- b) Method by which monitoring will be undertaken during contingency period
- c) Timeframe by which monitoring of clients will be restored should not exceed 24 hours
- d) Timeframe by which monitoring will be moved to a monitoring centre compliant with IS 228 or EN50518 should not exceed 7 days
- e) Timeframe by which organisation expects to be compliant with all PSA licensing requirements
- f) Security of clients' data during contingency
- g) Security of contingency facility
- h) Procedure to notify PSA within 12 hours of contingency plan commencing

Note: *The PSA may consider solutions which do not require the building of a back-up monitoring centre provided the provisions of clause 7.2.2 are met.*

Non Compliance: Category 1

7.2.3 The auditor shall inspect the organisations records outlining the outcome of the contingency plan tests and confirm that they are in accordance with clause **7.2.3** of PSA 33:2014.

Non Compliance: Category 2

7.2.4 No audit requirement.

7.2.5 The auditor shall confirm that the organisation complies with the requirements of clause **7.2.5** of PSA 33:2014.

Non Compliance: Category 2

7.2.6 The organisation shall provide the auditor with a statement signed by a principal of the organisation confirming either:

- (a) that the requirements of clause **7.2.6** of PSA 33:2014 has not applied to them since their last audit.
- (b) that they have complied with the requirements of clause **7.2.6** of PSA 33:2014 and notified the PSA in a change in their circumstances. Details of the change should be set out in the statement.

The statement may be signed by the principal within 1 month of the commencement of the audit and it shall be attached to the audit report.

Non Compliance: Category 2

8. PART 2 – CCTV MONITORING CENTRES

Part 2 of PSA 33:2014 sets out the standards to be complied with by organisations providing services in the CCTV Monitoring sector together with the associated time frames and requirements.

8.1.1 The provisions of clause **8.1.1** of PSA 33:2014 shall apply as follows;

- a) to all organisations who apply for a Security Guard (CCTV Monitoring) licence after the 31st October 2014,
- b) to any organisation licensed as a Security Guard (Monitoring Centre) prior to the 1st November 2014 who opts to comply with the provisions of clause **8.1.1** of PSA 33:2014,
- c) to all organisations licensed as a Security Guard (Monitoring Centre) prior to the 1st November 2014 who fail to maintain their licence.

The following are the versions of the standards which apply;

PSA 33:2014,
EN 50518-1:2013,
EN 50518-2:2013,
EN 50518-3:2013,
SR 45:2014.

8.1.2 The audit report shall indicate whether the organisation was audited in accordance with clause **8.1.1** or clause **8.1.3** of PSA 33:2014.

Organisations shall advise the auditor in writing in advance of the audit as to which clause they are seeking to be certified to. A copy of this advice shall be attached to the audit report.

8.1.3 The provisions of clause **8.1.3** of PSA 33:2014 shall only apply to organisations licensed as a Security Guard (Monitoring Centre) prior to the 1st November 2014.

8.1.4 Requirements on the gap analysis shall be published shortly.

8.1.5 Organisations licensed as a Security Guard (Monitoring Centre) prior to the 1st November 2014 who receive certification in accordance with clause **8.1.1** of PSA 33:2014 shall cease to be eligible for certification in accordance with clause **8.1.3** of PSA 33:2014.

8.1.6 The provisions of clause **8.1.3** of PSA 33:2014 shall remain in place until the 1st November 2017 or such other date thereafter as the PSA may decide. The PSA will announce any extension to the 1st November 2017 timeframe by the end of 2016.

9. PART 3 – ALARM MONITORING CENTRES

Part 3 of PSA 33:2014 sets out the requirements to be complied with by organisations providing services in the Alarm Monitoring sector together with the associated time frames and requirements.

- 9.1.1** The provisions of clause **9.1.1** of PSA 33:2014 shall apply as follows;
- a) to all organisations who apply for a Security Guard (Alarm Monitoring) licence after the 31st October 2014,
 - b) to any organisation licensed as a Security Guard (Monitoring Centre) prior to the 1st November 2014 who opts to comply with the provisions of clause **9.1.1** of PSA 33:2014,
 - c) to all organisations licensed as a Security Guard (Monitoring Centre) prior to the 1st November 2014 who fail to maintain their licence.

The following are the versions of the standards which apply;

PSA 33:2014,
EN 50518-1:2013,
EN 50518-2:2013,
EN 50518-3:2013,
SR 25:2005.

9.1.2 The audit report shall indicate whether the organisation was audited in accordance with clause **9.1.1** or clause **9.1.3** of PSA 33:2014.

Organisations shall advise the auditor in writing in advance of the audit as to which clause they are seeking to be certified. A copy of this advice shall be attached to the audit report.

9.1.3 The provisions of clause **9.1.3** of PSA 33:2014 shall only apply to organisations licensed as a Security Guard (Monitoring Centre) prior to the 1st November 2014.

9.1.4 Requirements on the gap analysis shall be published shortly.

9.1.5 Organisations licensed as a Security Guard (Monitoring Centre) prior to the 1st November 2014 who receive certification in accordance with clause **9.1.1** of PSA 33:2014 shall cease to be eligible for certification in accordance with clause **9.1.3** of PSA 33:2014

9.1.6 The provisions of clause **9.1.3** of PSA 33:2014 shall remain in place until the 1st November 2017 or such other date thereafter as the PSA may decide. The PSA will announce any extension to the 1st November 2017 timeframe by the end of 2016.

Annex A Sample PSA 33:2014 Audit Report

Name of Certification Body					
Address					
Phone No			Email Address		
Name of Auditor(s)				Date of Audit	

Name of Contractor					
Address On PSA Licence					
Address Visited For Audit (if different from address above)					
Phone No			Email Address		
Contact Person				PSA Licence No. (if applicable)	
Sectors For Which Certification Is Required			Date of last audit		
Number of Non- Conformances Recorded	Cat 1	Cat 2	Cat 3	Date PSA notified audit completed	
Date Copy Of Audit Report requested by PSA			Date Copy Of Audit Report sent to PSA		

Auditing Guidelines

Requirements	Report
2. General	
2.2 Audits	
2.2.2 Where the PSA has requested that an audit focus on certain areas of an organisations activities a brief report in addition to the specific PSA 33:2014 requirements shall be provided. This report may include the auditor's observations, organisations response to audit, etc.	

PART 1 COMMON PROVISIONS					
Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
3. ORGANISATION					
3.1 Ownership					
3.1.1 Names and contact details of each person to be recorded:					
3.1.2 Names and contact details of all directors and company secretary to be recorded: Screening Requirements Met: Declaration signed by accountant/solicitor where director/company secretary with company in excess of 5 years:					

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 Director who is an operational employee:					
3.1.4 Details of any bankrupt person:					
3.1.5 Details of any beneficial interest in another organisation:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<p>3.1.6 Name and PSA licence number of all supervisory and management staff who undertake licensable activities:</p>					
<p>3.1.7 Names and contact details of any person who is a beneficiary or who has a material interest in the organisation:</p>					
<p>3.1.8 Copy of organisation chart provided where not previously supplied at Pre-Audit checklist:</p>					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
3.2 Finance					
3.2.1 TCC inspected: TCC No: Issue Date: Valid Until:					
3.2.2 Details of any director or shareholder loans: Date of Loan: Amount of Loan: Who the Loan is From: Amount of repayments made: Date of repayments: Amount of Loan Outstanding:					
3.2.3 Cash Flow Statement inspected: Copy Provided:					
3.2.4 Statement on bank signatories provided:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
3.3 Insurance					
3.3.1 Details of insurance:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
3.4 Premises					
3.4.1 All records, etc stored in secure confidential manner:					
3.4.2 Details of intruder alarm:					
3.4.3 Details of Alarm Monitoring :					
3.5 Organisation Information					
3.5.1 PSA Licence Number(s) contained on letterheads, contracts, etc.: Details of any unlicensed activity:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
3.5.2 Written contracts inspected and required details included therein:					
3.5.3 Contracts signed and delivered to client as required:					
3.5.4. Details of sub-contractor(s) including PSA licence number and expiry date:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
3.6 Quotations for Contracts					
3.6.1 Written quotation comply with requirements:					
3.7 Compliance with Legislation:					
3.7.1 Statement on compliance with legislation provided:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4. STAFFING					
4.1 Selection & Pre-Employment Screening					
4.1.1 General					
4.1.1.1 Pre employment records inspected: Required enquiries completed:					
4.1.1.2 Required screening undertaken:					
4.1.1.3 Required personnel files exist:					
4.1.1.4 Statements of Authorisation on files:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4.1.1.5 Probationary Employment time frame meets requirements:					
4.1.1.6 Certified copies of personnel and screening documentation on file:					
4.1.1.7 Screening records for part-time employees and directors inspected: Screening completed:					
4.1.1.8 Screening records for temporary & ancillary staff inspected: Screening completed:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4.1.1.9 Screening periods complied with:					
4.1.1.10 Monitoring & supervision procedures for provisional employees in place:					
4.1.1.11 Screening completed within 10 weeks of employment commencing:					
4.1.1.12 Screening for shorter periods carried out in accordance with PSA requirements:					
4.1.1.13 Screening records provided in accordance with PSA requirements:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4.1.2 Pre-Employment Interview					
4.1.2.1 Pre interview documents provided:					
4.1.2.2 Interview conducted to PSA requirements:					
4.1.2.3 Interview notes recorded in line with PSA requirements and retained on personnel files:					
4.1.3 Character and other references					
4.1.3.1 Screening procedures complied with:					
4.1.3.2 Procedures for references by phone followed:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4.1.3.3 Requirements on third party documents met:					
4.1.3.5 Gaps in screening records have been covered in accordance with PSA requirements:					
4.1.4 Evidence of Qualifications					
4.1.4.1 Evidence of qualifications/awards received: PSA Licence details provided prior to employment:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4.1.5 Work Permits, Authorisations, etc					
4.1.5.1 All permissions in place prior to employment commencing:					
4.1.5.2 Register of employees in place and in line with PSA requirements:					
4.1.5.3 Current permissions are in place:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4.1.6 Maintenance and Retention of Records					
4.1.6.1 All PSA required employee details held on file:					
4.1.6.2 Storage of Records secure: Records retained in accordance with Data Protection Commissioner:					
4.1.6.3 List of personnel maintained:					
4.1.7 Screening and Acquired Companies					
4.1.7.1 Screening requirements for acquired companies met:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4.2 Terms of Employment					
4.2.1 Contract of employment and staff handbook issued to staff:					
4.2.2 Terms of employment inspected and meet PSA requirements:					
4.3 Code of Conduct					
4.3.1 Code of conduct meets PSA requirements:					
4.3.2 Code of conduct signed by employees:					
4.4 Identification					
4.4.1 Identity badge conforms to PSA requirements:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4.4.2 Instructions on requirements for wearing Identity Badge given to employees:					
4.4.3 Review of Identity Badges in line with PSA requirements:					
4.4.4 Arrangements on withdrawal of identity badges in place:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
5. TRAINING					
5.1 Training Policy & Responsibility					
5.1.1 Training Policy document inspected and PSA requirements met:					
5.1.2 Details of Training Administrator: Qualifications:					
5.1.3 Training policy includes procedures to assess staff and provide additional training :					
5.2 Refresher Training					
5.2.1 Refresher training requirements met:					
Requirements	Audit Outcome	Corrective Action	Timeframe for	Corrective Action	Date Verified and

		Required	Corrective Action	Completed	Means of Verification
5.3 Specialist Training					
5.3.1 Specialist training provided where required:					
5.4 Supervisory and Management Training					
5.4..1 Appropriate training provided to operational supervisory and management staff:					
5.5 Training Records					
5.5.1 Training records inspected & maintained:					
5.5.2 Training records meet PSA requirements: Refresher Training Recorded: Further Training Indicated:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
6. OPERATIONS					
6.1 Security					
6.1.1 Procedures on security of clients information and property in place:					
6.1.2 Procedures to keep confidential details of clients business and operations in place: PSA requirements on access met:					
6.1.3 Procedures on disclosure of clients details meet PSA requirements:					
6.1.4 Procedures for surrender of keys meet PSA requirements:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
6.1.5 Records of visits to clients premises meet PSA requirements:					
6.2 Specialist Knowledge					
6.2.1 Access to technical manuals kept under security conditions: PSA requirements on access met:					
6.3 Vehicles and Equipment					
6.3.1 Vehicles liveried in accordance with PSA Requirements:					
6.3.2 Driving licences valid: Records held on file:					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<p>6.3.3 Vehicles maintained and serviced:</p> <p>Equipment maintained and serviced:</p>					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
7. COMPLIANCE WITH PSA LICENSING					
7.1 Compliance with Standards					
<p>7.1.1 Has organisation maintained compliance with standard:</p> <p>Instances of non-compliance not recorded elsewhere in audit report:</p> <p>Any other matter to be brought to the attention of the PSA:</p>					
<p>7.1.2 Duration since last audit:</p> <p>If greater than 12 months reasons for same:</p>					
Requirements	Audit Outcome	Corrective Action	Timeframe for	Corrective Action	Date Verified and

		Required	Corrective Action	Completed	Means of Verification
7.1.3 and 7.1.4 Has organisation provided all required permissions:					
7.2 PSA Licensing Requirements					
7.2.1 Not applicable					
7.2.2 Contingency Plan Inspected: Contingency Plan meets all PSA requirements:					
7.2.3 Records outlining the outcome of contingency plan tests inspected. Plan tested since last audit report:					
7.2.5 Compliant with all relevant legislation :					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<p data-bbox="185 266 427 384">7.2.6 Statement on notifying the PSA of certain matters provided:</p> <p data-bbox="185 448 461 507">Copy attached to audit report:</p>					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
8. SPECIFIC PROVISIONS RELATING TO CCTV MONITORING CENTRES					
Has the Organisation opted for the provisions of clause 8.1.1 or 8.1.3:					
9. SPECIFIC PROVISIONS RELATING TO ALARM MONITORING CENTRES					
Has the Organisation opted for the provisions of clause 9.1.1 or 9.1.3:					

Annex B Ongoing Screening & Training records

Company: _____

Address: _____

PSA Licence No. _____ Certification Body _____

Screening Records previously checked

Name	PPSN	Licence Number	Position in Organisation	Compliant Y/N

Training Records previously checked

Name	PPSN	Licence Number	Position in Organisation	Compliant Y/N

Auditor: _____

Date: _____

Auditor Signature: _____

Annex C Declaration by Director

Company: _____

Address: _____

PSA Licence No. _____ Certification Body _____

I _____ act for _____
(Insert Name) *(Organisation)*

In the capacity of _____
(Accountant/Solicitor)

I wish to confirm that the following Directors/Secretary has been with the organisation for a period of 5 years or more:

<i>Name</i>	<i>Address</i>	<i>PPSN</i>	<i>Date of Birth</i>

Accountant/Solicitor Signature: _____

Accountant/Solicitor Name: _____
(Block Capitals)

Date: _____

Annex D Declaration of Compliance with Legislation

To be completed not more than 2 weeks prior to annual PSA 33:2014 Audit

Company: _____

Address: _____

Registration No. _____ PSA Licence 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"/>

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: _____

Annex E Checklist for Personnel Files

	Please Tick Box
1. Pre-employment records (Clause 4.1.2.1)	
2. Personnel file exists for all relevant staff including part time employees and directors (Clauses 4.1.1.3, 4.1.1.7 & 4.1.1.8)	
3. Screening has been completed (Clause 4.1.1.2)	
4. Statement of Authorisation exists (Clause 4.1.1.4)	
5. Provisional employment has not exceeded 9 months (Clause 4.1.1.5)	
6. Certified copies of screening document on file (Clause 4.1.1.6)	
7. Screening periods compliant with Standard (Clause 4.1.1.9)	
8. Screening completed within time frame (Clause 4.1.1.11)	
9. Screening for a shorter period, where applicable, is compliant with Standard (Clause 4.1.1.12)	
10. Permissions/work permits/authorisations, where applicable, on file (Clause 4.1.5)	
11. Gaps on screening record addressed (Clause 4.1.3.5)	
12. Interview notes on file (Clause 4.1.2.3)	
13. References, where applicable, are on file (Clause 4.1.3.1 & 4.1.3.2)	
14. Third party documents on file (Clause 4.1.3.3)	
15. Evidence of qualification or copy of licence on file (Clause 4.1.4.1)	
16. Records maintained (Clause 4.1.6.1)	
17. Screening and Acquired Companies (Clause 4.1.7.1)	
18. Terms of Employment (Clause 4.2.1 and 4.2.2)	
19. Code of conduct signed and on file (Clause 4.3.2)	
20. Training records held with Personnel File (Clause 5.5.2)	

Auditor Signature: _____ Date: _____

Annex F Information Note on PSA 33:2014 and Data Protection

Clause 4.1.6.2 of PSA 33:2014 requires employers to keep employee records safe from unauthorised access or accidental loss. All employers are data controllers within the meaning of the Data Protection Acts and have an obligation to ensure the security of their employees personal data.

Section 2(1)d of the Data Protection Act states:

"appropriate security measures shall be taken against unauthorised access to, or unauthorised alteration, disclosure or destruction of, the data, in particular where the processing involves the transmission of data over a network, and against all other unlawful forms of processing"

In determining what security measures should be put in place in order to satisfy the requirements of section 2(1)(d) a number of factors may be taken into consideration;

- The state of technological development - Measures must be reviewed over time.
- The cost of implementing the measures. - Larger organisations with greater resources can be expected to implement more advanced measures, or update measures more regularly, than smaller bodies.
- The harm that might result from unlawful processing. - Might someone be at a financial loss or be at risk of suffering injury as a result of disclosure or destruction of data?
- The nature of the data concerned. - There is a greater duty of care relating to the processing of sensitive personal data.

The Data Protection Commissioner recommends that data controllers implement the following measures:

- access to data is restricted to authorised staff only,
- staff are aware of the security measures in place for the protection of data,
- procedures are in place to ensure that staff comply with the security measures,
- printouts are disposed of properly,
- that all third part access to data should be covered by written contract stipulating the conditions applying to the use, retention and destruction of data.

Under section 4 of the Data Protection Acts, a (former) employee can make an access request for their personal data and furthermore under section 6 can seek a rectification of the documentation held, if there are any inaccuracies in the information.

Further information is available form the website of the Data Protection Commissioner, www.dataprotection.ie.

Annex G Pre – Audit Checklist Template

Company: _____

Address: _____

PSA Licence No. _____ Certification Body _____

I _____ of _____ hereby
(Insert Name) *(Organisation)*

confirm that there have been no changes to the following clauses of PSA 33:2014 in so far as they affect _____ since _____
(Organisation) *(Date)*

ORGANISATION/FINANCE

(Please v)

1. Clause 3.1.1 – Ownership and Management of Organisation
2. Clause 3.1.2 – Details of Directors
3. Clause 3.1.4 – Details of any bankruptcy of directors or principals
4. Clause 3.1.5 – Beneficial interest in other organisations
5. Clause 3.1.7 – Beneficiary of the organisation
6. Clause 3.1.8 – Organisation Chart attached
7. Clause 3.2.3 – Current Tax Clearance Certificate attached

Signature

Date

Position in Organisation

Annex H – Gap Analysis For IS 228 Monitoring Centres

The gap analysis shall be undertaken against the clauses of EN 50518 listed below and shall indicate if the monitoring centre meets the requirements of the clause. Where the requirements aren't met the analysis shall indicate what needs to be done to meet the requirements.

Clause	Analysis
5.1.1 of EN 50518-1	Assessment of doors and glazed areas against the requirements of clause 5.1.1 of EN 50518-1.
5.1.2 of EN 50518-1	Assessment of doors and glazed areas against the requirements of clause 5.1.2 of EN 50518-1.
5.1.3 of EN 50518-1	Assessment of the shell of the monitoring centre against the requirements of clause 5.1.3 of EN 50518-1.
5.1.4 of EN 50518-1	Assessment of lightning protection against the requirements of clause 5.1.4 of EN 50518-1.
5.4 of EN 50518-1	Assessment of entrance lobby against the requirements of clause 5.4 of EN 50518-1.
5.5.1 of EN 50518-1	Assessment of locking mechanisms against the requirements of clauses 5.5.1 of EN 50518-1.
5.5.2 of EN 50518-1	Assessment of locking mechanisms against the requirements of clause 5.5.2 of EN 50518-1.
5.6 of EN 50518-1	Assessment of emergency exit doors against the requirements of clause 5.6 of EN 50518-1.
5.7 of EN 50518-1	Assessment of glazed areas against the requirements of clause 5.7 of EN 50518-1
5.8 of EN 50518-1	Assessment of ventilation systems against the requirements of clause 5.8 of EN 50518-1.
6.5 of EN 50518-1	Assessment of communication connections against the requirements of clause 6.5 of EN 50518-1.
6.8 of EN 50518-1	Assessment of signals from the protection systems against the requirements of clause 6.8 of EN 50518-1.
7.2 of EN 50518-1	Assessment of standby generators against the requirements of clause 7.2 of EN 50518-1. Assessment shall report on clauses 7.2.1 and 7.2.2 separately.
Clause	Analysis
10 of EN 50518-2	Does the organisation comply with the requirements of clause 10 of EN 50518-2
Clause	Analysis
5.2 of EN 50518-3	Assessment of equipment testing against the requirements of clause 5.2 of EN 50518-3.
5.6.2 of EN 50518-3	Assessment of emergency entry against the requirements of clause 5.6.2 of EN 50518-3.
8.4 of EN 50518-3	Assessment of data disposal against the requirements of clause 8.4 of EN 50518-3.

Organisations required to complete a gap analysis under clause 8.1.4 and/or 9.1.4 of PSA 33:2014 must provide a report on the gap analysis to the PSA by the 1st July 2016. The report should be provided in the following format.

Clause	Assessment	Action Required
5.1.1 of EN 50518-1		
5.1.2 of EN 50518-1		
5.1.3 of EN 50518-1		
5.1.4 of EN 50518-1		
5.4 of EN 50518-1		
5.5.1 of EN 50518-1		
5.5.2 of EN 50518-1		
5.6 of EN 50518-1		
5.7 of EN 50518-1		
5.8 of EN 50518-1		
6.5 of EN 50518-1		
6.8 of EN 50518-1		
7.2 of EN 50518-1		
Clause	Assessment	Action Required
10 of EN 50518-2		
Clause	Assessment	Action Required
5.2 of EN 50518-3		
5.6.2 of EN 50518-3		
8.4 of EN 50518-3		