



An tÚdarás Slándála Príobháidí  
The Private Security Authority

*The Security Regulator*

## **AUDITING GUIDELINES**

Phase 1 Requirements for the Licensing of Contractors  
in:

Door Supervisor (Event Security)

Door Supervisor (Licensed Premises)

Security Guard (Event Security)

Security Guard (Static)

**PSA 31:2019**

**June 2019**

# Contents

1. AUDITING GUIDELINES.....	3
2. GENERAL .....	4
2.1 PSA Phase 1 Licensing Requirements .....	4
2.2 Audits .....	4
2.3 Audit Compliance .....	5
2.4 Audit Reports .....	5
3. ORGANISATION .....	5
3.1 Ownership .....	5
3.2 Screening .....	9
3.3 Finances .....	10
3.4 Insurance .....	13
3.5 Premises .....	14
3.6 Compliance with Legislation.....	17
4. STAFFING .....	18
4.1 General .....	18
4.2 Uniform .....	20
5. TRAINING .....	21
5.1 Training.....	21
6. OPERATIONS .....	22
6.1 Risk Assessments and Safety Statements.....	22
6.2 Command and Control System .....	23
6.3 Assignment Instructions and Incident Report Log .....	24
Annex A .....	14
Annex B .....	20

# 1. AUDITING GUIDELINES

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

- The inspection and compliance 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 when auditing organisations for Phase 1 Certification in the following sectors:

Security Guard (Static) - PSA 28

Door Supervisor (Licensed Premises) - PSA 28

Security Guard (Event Security) - PSA 39

Door Supervisor (Event Security) - PSA 39

Compliance with all clauses must be fully achieved. Organisations who fail to meet the clauses will be given 5 weeks from the date of notification to correct all outstanding issues. If outstanding issues have not been rectified within the timeframe the application for a PSA licence may be refused.

## 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 must be assessed against the requirements in accordance with these guidelines.

### 2.2 Audits

2.2.1 The purpose of the audit is to demonstrate the contractor’s compliance with the PSA Requirements Document “PSA Phase 1 Licensing Requirements”, and their ability to provide a service and commence the application process for a licence.

2.2.2 All audits must involve a visit to the contractors address as stated on their PSA licence. Where the contractor does not hold a PSA licence the visit must 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 must take place.

2.2.3 Audits must be conducted in accordance with these guidelines.

2.2.4 Audit reports will be in the format set out in Annex A.

2.2.5 Upon successful completion of PSA 31 organisations must provide details to the PSA of the auditing body it has engaged to carry out their full audit for licence purposes.

2.2.6 Organisations have 6 months following completion of PSA 31 to arrange for their selected auditing body to carry out an audit for full compliance to PSA Licensing Requirements – Door Supervision and Security Guard 2013 (PSA 28) and /or PSA Licensing Requirements – Door Supervisor (Event Security) and Security Guard (Event Security) (PSA 39:2014).

## 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 satisfy any of the requirements of the requirements document, a notification of the non- together with details of the required corrective action will be issued. Organisations will have 5 weeks in which to make corrective action and provide details to the PSA.
- 2.3.3 When corrective action has been completed, a further inspection may be undertaken. If outstanding issues have not been rectified within the timeframe the application for a PSA licence may be refused.
- 2.3.4 Finalised audit reports will detail non-compliance and corrective action.

## 2.4 Audit Reports

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

# 3. ORGANISATION

## 3.1 Ownership

- 3.1.1 Ownership and management of the organisation must be clearly stated in writing. The company secretary, and all individuals who have a shareholding or control of more than 5% of the company must be properly identified. This does not apply in the case of a plc.

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.

Organisations must provide auditors with a signed and dated statement outlining all beneficiaries and those with a material interest. The auditor may request a formal share certificate as evidence of ownership.

Auditors shall refer to reliable sources of information such as the CRO.

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 of all directors of the organisation must be properly recorded in the Companies Registration Office, and must be as named. Screening of all directors must be carried out as set out in section 3.2. A record of this screening must be recorded and held on file, these records must be available to an authorised official.

The names and contact details of all directors including the company secretary shall be recorded. The audit shall confirm that the details provided correspond to the director details recorded with the Companies Registration Office. A record of screening of each individual must be examined.

3.1.3 Screening must include details of employment and current and previous directorships, shareholdings etc.

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.

3.1.4 An organisation applying for a licence must provide evidence that they possess the competence to provide a security service. Competence may be demonstrated by the following means:

- a. 5 years continuous experience in the sector for which a licence is sought within the previous 10 years, or
- b. such other means as may be approved by the PSA.

The auditor shall examine the verified evidence of 5 years continuous experience of providing a security service. Where an organisation does not meet the 5 years continuous experience requirement it must first have received approval by the PSA that the other means are satisfactory.

3.1.5 Details of former businesses, directorships, partnerships, or sole trades etc. of directors must be disclosed.

The auditor shall be provided with details of any former businesses, directorships, company secretary, partnerships, or sole trades of each director. Where none are declared, a signed written declaration must be provided.

- 3.1.6 Details of any bankruptcy whether discharged or undischarged of a principal or director of the organisation must be held on file and must be disclosed to a client on request.

The organisation shall confirm to the auditor if any principal or director is or has been a bankrupt. 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. Where none are declared, a signed written declaration must be provided.

- 3.1.7 Directors involved in operational activities who are also employees of the organisation must hold a current PSA employee licence. This licence must, as a minimum, cover the main service the organisation intends to provide.

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.

- 3.1.8 Where a principal has a beneficial interest in another organisation subject to licensing by the PSA, a declaration of that interest must be made.

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. A written declaration signed and dated by the principal must be provided, including where none are declared.

- 3.1.9 All principals must sign a declaration providing details of any person who is a beneficiary of the organisation or any person that may hold a major interest in the organisation and who has not been identified at section 3.1.1 or 3.1.2.

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. A written declaration signed and dated by the principal must be provided, including where none are declared.

3.1.10 All operational, supervisory and management staff must hold a current PSA employee licence where they are carrying out an activity that is subject to PSA licensing.

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 shall be recorded in the audit report.

3.1.11 The principal must ensure that an organisation chart is prepared and available for inspection. The organisation chart must show details of all persons involved and all persons proposed to be involved in the organisation. The chart must include details of any third party who will provide additional services to or for the organisation such as sales, payroll and accounts.

The auditor shall inspect the detailed organisation chart which should show all persons involved/proposed to be involved in the organisation. The organisation chart shall detail all roles necessary for operation of a security service.

The organisation chart shall clearly set out who is responsible for each aspect of the business. Examples of what aspects may be involved include (but are not limited to):

- Sales
- Payroll
- Health & Safety
- Operations
- Command and Control

The organisation shall confirm to the auditor if any third parties provide or will provide regular outsourced services to or on behalf of the organisation. Where third party services are provided these should be detailed on the organisation chart. In cases of services provided by third parties, it is sufficient to record the name of the third party on the organisation chart.

Confirmation that the organisation chart meets the requirements shall be recorded in the audit report.



3.1.12 Where it applies, the organisations certificate of incorporation and/or certificate of business name must be available for inspection.

In the case of a limited company, the auditor shall 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 All principals and directors including the company secretary must undergo screening. Copies of screening documentation must be held on file.

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

3.2.2 The screening period for principals, directors and company secretaries must cover the preceding ten years or from the date of leaving school, whichever is the shorter period.

The auditor shall verify that the screening covers the ten year period prior to the start-up of the business or from leaving school for principals, directors and company secretary.

3.2.3 The screening period for all employees and all other persons subject to screening must cover the preceding five years or from the date of leaving school, whichever is the shorter period.

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

3.2.4 The screening period must have no periods unaccounted for.

The auditor shall ensure that there are no gaps in the screening periods. Screening must be conducted on a month-by-month basis.

3.2.5 Only documents from parties such as employers, colleges, solicitors, accountants and the Department of Social Protection are acceptable for screening purposes.

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 organisation must be tax compliant. Holders of eTax Clearance certificates must provide their Tax Reference Number (TRN) and Tax Clearance Access Number (TCAN) and allow authorised officials access to Revenue.ie to allow verification.

Where access to the Revenue On-line System (ROS) is carried out by an agent, organisations must provide in addition to the above an up to date 'hard copy' of the certificate, the date it was printed showing at the bottom of the document.

The auditor shall inspect the organisation's tax clearance record through Revenue.ie 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/Printed Date
- Valid Until Date

3.3.2 Loans received by the organisation from directors and/or shareholders must be recorded as loan capital. Where there are such loans, all other creditors will have priority.

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 the time of audit

3.3.3 The organisation must produce bank statements from the date of start-up/incorporation to the date of audit. All start-up capital must be included in these statements.

The auditor shall inspect all bank statements of the organisation from date of incorporation/start-up to date of audit and ensure that any start-up capital is included in these statements. 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 and dated by the principal(s) 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 other PSA licensable or non-licensable activities, the organisation shall provide a copy of its profit and loss account for its last trading period.

3.3.4 The organisation, where requested must produce details of the origin of all funds used in the start-up of the business.

The auditor shall enquire into the origin of the business's start-up funds, details shall be recorded in the audit report.

3.3.5 The organisation must produce a cash flow plan for the first 6 months of operations. This plan should provide sufficient detail of the expected costs that will be incurred during the period and must be signed off by all principals and directors.

The auditor shall inspect the organisations cash flow plan and satisfy themselves that the projections and figures underpinning the plan are reasonable, and are in line with a start-up company within the industry. A copy shall be attached to the audit report.

Examples of what the cash-flow statement might take into account are:

- Application of legally binding minimum rates of pay
- Insurance and other fixed costs, both once-off and recurring
- Director's loans and/or investment capital
- Personal money used in start-up

3.3.6 The cash flow plan should also provide detail of the organisations projected earnings from potential clients and contracts.

The auditor shall inspect the organisation's cash flow plan and confirm in the audit report that it meets the Phase 1 requirements.

3.3.7 The organisation must set out its proposals on the means and method of payment of all staff.

The auditor shall inspect the business's proposed method of payment to ensure that the organisation is sufficiently prepared to meet its obligations.

The auditor shall inspect records which should reflect:

- How payment will be made (for example, directly to bank accounts)
- The frequency of payment (weekly or fortnightly and whether in advance or in arrears)
- Legally binding minimum rates of pay

3.3.8 The organisation must provide details of all accounts held in financial institutions.

The auditor shall inspect details of all financial institutions held by the organisation.

3.3.9 The organisation must provide a statement detailing all signatories of the organisations account(s) from their financial institution.

The auditor shall inspect the statement(s) from each financial institution detailing all signatories on account(s). Copies shall be attached to the audit report.

### **3.4 Insurance**

3.4.1 The organisation must provide an insurance quote for the proposed business. The quote must be sufficient to provide insurance cover for the nature of the business being proposed. This should include, based on the security service being undertaken, but is not limited to, cover for the following:

- Employer liability and public liability
- Motor insurance
- Deliberate act
- Fidelity
- Defamation
- Efficacy
- Loss of keys and consequential loss of keys
- Wrongful arrest
- Professional indemnity

The auditor shall inspect the organisation's insurance quote(s) and verify that the quote is relevant to the nature of the business. The audit report shall record areas covered and the maximum liability in each area.

Note: For companies based outside Ireland and proposing to operate within Ireland, the quote must relate only to the proposed Irish operations.

- 3.4.2 The organisation must have sufficient funds to cover three times the value of the insurance excess amount on their insurance policy.

Where the insurance quote includes an insurance excess amount, the auditor shall confirm that three times the excess amount is held in funds by the company.

- 3.4.3 All insurance must be in place before an organisation commences providing a security service. Evidence of this must be produced to the PSA prior to the issue of a licence.

This only applies after a business successfully completes Phase 1. Confirmation that the insurance has been taken out in line with the quote supplied at 3.4.1 prior to the issue of a full PSA licence.

## 3.5 Premises

- 3.5.1 The organisation must have an administrative office where records, together with all professional and business documents, certificates, correspondence and files necessary to the proper conduct of business must be kept in a secure confidential manner.

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 must be kept in a secure confidential manner.

- 3.5.2 The organisation must produce a detailed plan of its administrative office outlining all current and proposed security features.

The auditor shall inspect the plan of the administrative office and be satisfied with the current and proposed security features.

- 3.5.3 Any administrative office covered by 3.5.1 above must be protected by an intruder alarm system installed and maintained by a PSA licensed contractor.

The auditor shall confirm that the administrative office will be protected by an intruder alarm system which will be installed and maintained in accordance with prevailing PSA requirements.

- 3.5.4 The organisation must keep a written record containing the name, address and contact number of the intruder alarm installer as well as details of the maintenance and service history.

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.

- 3.5.5 The alarm must be remotely monitored by a PSA licensed Alarm Receiving Centre (ARC). The organisation must keep a written record of the name, address and contact number of the PSA licensed ARC providing the service.

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

- 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, or
- Monitoring centre, where the administrative office is located outside of Ireland, certified to EN 50518/BS 5979 or equivalent standard recognised by the PSA.

3.5.6 The organisation must produce a written proposal for keeping all confidential records safe and secure.

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.

3.5.7 The organisation must produce a written proposal for protecting electronic records against unauthorised access, alteration, disclosure, loss or destruction.

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.

3.5.8 The organisation must have written procedures in place to ensure that all records are retained in accordance with the recommendations of the Office of the Data Protection Commissioner.

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 must provide a statement of its intention to comply with all relevant legislation. This statement must be signed by a principal of the organisation. Where required by the security service being undertaken, this statement must specifically state, the organisations intention to comply with the following:

1. Planning and Development Act(s)
2. Licensing of Indoor Event Act(s)
3. Code of Practice for Safety at Indoor Concerts (Dept of the Environment and Local Government:1998)
4. Code of Practice for Safety at Outdoor Pop concerts and other Outdoor Musical Events (Dept of Education:1996)
5. Code of Practice for Safety at Sports Grounds (Dept. of Education 1996)
6. Health, Safety and Welfare at Work Act(s)
7. Organisation of Working Time Act(s)
8. Private Security Services Act(s)
9. Data Protection Acts
10. Taxation and Social Welfare Acts(s)
11. Payment of Wages Act
12. Immigration Acts 1999 to 2004
13. Employment Regulation Orders (ERO)

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 and future compliance with the above. The statement at Annex B shall be attached to the audit report.

3.6.2 The organisation shall appoint a member of the management team responsible for ensuring that the organisation operates in accordance with the provisions of the Private Security Services Act, regulations thereunder and the standards prescribed for licensing.

The organisation shall advise the auditor of the name of the person appointed as the person responsible. The name together with confirmation that they are a member of the management team shall be recorded in the audit report.

## 4. STAFFING

### 4.1 General

All documents produced and presented must reflect the security activities that are to be undertaken by the organisation. Organisations must produce documents under each heading. Where an existing document is not available, a sample document may be used. A sample document should be prepared on a real situation or be based on a contract to a customer, or a potential customer.

A Blank Template will not be enough to be considered a sample.

Auditors shall ensure that where sample documents are presented they reflect both the organisation and the service being offered. A 'copy and paste' from other companies is insufficient.

4.1.1 The organisation must produce a staff recruitment policy document.

The auditor shall inspect the organisation's staff recruitment policy document, and be satisfied that the document reflects and is relevant to the organisation and the proposed service being undertaken.

4.1.2 The organisation must produce a screening policy document. This document must set out in detail the screening procedures to be followed by the organisation and must reflect the screening requirements that are set out in PSA Requirements documents for:

- Door Supervisor (Event Security)
- Door Supervisor (Licensed Premises)
- Security Guard (Event Security)
- Security Guard (Static)

The auditor shall inspect the organisation's screening policy document and confirm that the screening procedures meet with the PSA requirements of PSA 28 and PSA 39 clause 4.1.

- 4.1.3 A personnel file must be created for each principal and director, which must include completed screening records.

The auditor shall inspect the personnel files for each principal and confirm that each file includes completed screening records.

- 4.1.4 The organisation must produce a document which will detail the 'terms of employment' to be offered to employees.

The terms of employment document must comply with clause 4.2 of the PSA requirements document PSA 28 and/or 39. The auditor shall inspect the organisation's terms of employment and confirm that the document meets the PSA requirements and employment legislation.

Note: Any document setting out terms of employment in respect of relevant security personnel must show compliance with the relevant requirements of the conditions set down in the Employment Regulation Order for the Security Sector.

- 4.1.5 The organisation must produce a document setting out the 'code of conduct' for employees.

The code of conduct must reflect clause 4.3 of the PSA requirements document PSA 28 and/or 39. The auditor shall inspect the organisation's employee code of conduct and confirm that the document meets the PSA requirements.

## 4.2 Uniform

- 4.2.1 A sample of the organisation's uniform must be available for inspection by authorised officials.

The auditor shall inspect a specimen of the organisation's uniform and confirm that it meets the requirements under clauses 4.2.2 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 requirement clauses 4.2.3 and 4.2.4 of the PSA Requirements Document.

- 4.2.2 The uniform must be clearly distinguishable from that of a member of the civil protection services.

The auditor shall confirm that the uniform is clearly distinguishable from that of the civil protection services.

- 4.2.3 In the case of Event Security, the uniform must include colouring and lettering and be easily distinguishable from patrons and other staff or venue employees. The word "SECURITY" must be in uppercase letters on the front left breast and across the back of the uniform. The lettering must not be less than 1.5 centimetres high on the front of the uniform and must not be less than 10 centimetres high on the back of the uniform. All lettering must be permanently affixed to the uniform.

The auditor shall confirm that the colouring and lettering meet the criteria.

- 4.2.4 Each Event Security uniform must contain a unique identity number on the front and back. The unique identity number must not be less than 7 centimetres high and must be clearly visible when the uniform is worn in normal conditions.

The auditor shall confirm the aspects of the unique identity number.

## 5. TRAINING

### 5.1 Training

- 5.1.1 The organisation must produce a clear training policy document which has been authorised at senior management level within the organisation. The policy must meet the requirements set out in the requirements document for the sector in which they wish to apply for a licence

The policy shall comply with the training requirements contained in PSA Licensing Requirements –Door Supervision and Security Guard (PSA 28) and/or PSA Licensing Requirements – Door Supervisor (Event Security) and Security Guard (Event Security) (PSA 39). 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 auditor shall inspect the organisation’s training policy document and confirm that the document meets the PSA requirements.

- 5.1.2 The organisation must appoint a member of the management team as training administrator.

The organisation shall advise the auditor of the name of the person appointed as the training administrator. The name together with any relevant qualifications and confirmation that they are a member of the management team shall be recorded in the audit report.

- 5.1.3 The training policy must include proposals on induction training and on-site training.

The auditor shall confirm that the training policy includes proposals on induction training and on-site training. Details of the organisation’s qualified trainer (if applicable) shall be recorded in the audit report.

## 6. OPERATIONS

### 6.1 Risk Assessments and Safety Statements

6.1.1 The organisation must produce a risk assessment procedure document. The document should clearly demonstrate the organisations ability to carry out a risk assessment survey for each site of a potential client.

The auditor shall inspect the organisation's risk assessment procedures document. The auditor shall satisfy themselves that the proposals are fit for purpose.

6.1.2 The organisation must produce a sample risk assessment survey in accordance with the risk assessment guidelines contained in Annex A of PSA 31. A sample document should be prepared on a real situation or be based on a contract to a customer, or a potential customer.

The auditor shall inspect the organisation's risk assessment survey, and be satisfied that it reflects the service being offered and meets the PSA requirements.

6.1.3 The organisation must produce a safety statement which must comply with all National and European legislation.

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

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

6.1.4 The organisation, for Event Security, must have a sample Event Security management plan.

The Event Security management plan must reflect clause 6.4 of the PSA requirements document PSA 39. The auditor shall inspect the organisation's Event Security management plan and confirm that the document meets the PSA requirements.

## 6.2 Command and Control System

6.2.1 The organisation must provide proposals for a command and control system.

The Command and Control System must reflect clause 6.2 of the PSA requirements document PSA 28 and/or clause 6.3 of PSA 39. The auditor shall inspect the organisation's proposal and confirm that the document meets the PSA requirements.

6.2.2 The proposals should be sufficient to meet the requirements of the services to be provided. The proposals must include the following information:

- The location of the command and control system
- If the system is to be provided by a third party
- The facilities to be available
- The security of the command and control system
- Details of how the organisation will meet the Command and Control System requirements of PSA 28 and/or PSA 39
- The ability to demonstrate or verify the system as a viable Command and Control System or the ability to test the Command and Control System

The auditor shall be satisfied that the command and control system proposals can be demonstrated and verified.

6.2.3 The organisation must provide a command and control system manual.

The audit shall inspect the 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.

6.2.4 Applicants for an Event Security licence who intend to provide a security service during periods when a venue is in lockdown, including pre and post event building stages, must produce proposals for a command and controls system to support this service.

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.

### 6.3 Assignment Instructions and Incident Report Log

6.3.1 The organisation must produce a sample of assignment instructions.

The Assignment Instructions must reflect clause 6.4 of the PSA requirements document PSA 28 and/or clause 6.9 of PSA 39. The auditor shall inspect the organisation's Assignment Instructions document and confirm that the document meets the PSA requirements.

6.3.2 The organisation must produce a sample incident report log.

The Incident Report Log must reflect clause 6.3.2 of the PSA requirements document PSA 28 and/or clause 6.7 of PSA 39. The auditor shall inspect the organisation's Assignment Instructions document and confirm that the document meets the PSA requirements.

The sample Incident Report Log must provide for all the items set out in clause 6.3.2 and/or Clause 6.7 above and must also provide for:

- Procedures for contact An Garda Síochana and the emergency services where appropriate,
- A facility to confirm that a copy has been given to the client,
- A facility to record the identity of the security supervisor, where one is present.



## Annex A

### Sample Phase 1 Audit Report

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

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

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<b>3.1 Ownership</b>					
3.1.1 Names and contact details to be recorded:					
3.1.2 Names and contact details to be recorded:					
3.1.3 Confirmation that screening requirements have been met.					
3.1.4 Confirmation that evidence of 5 years continuous experience was produced.					
3.1.5 Details of former businesses.					
3.1.6 Details of any bankrupt person:					
3.1.7 Details of any director who is an employee:					
3.1.8 Details of any beneficial interest in another organisation:					
3.1.9 Details of any person who has a beneficiary or material interest in the organisation:					
3.1.10 Name and PSA licence number of all supervisory and management staff who undertake licensable activities:					
3.1.11 Organisation chart and details of third party services:					
3.1.12 Details of certificates of incorporation and business name:					
<b>3.2 Screening</b>					

Requirements	Audit Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<b>3.2.1</b> Screening records inspected:					
<b>3.2.2</b> Required screening periods for principals met:					
<b>3.2.3</b> Required screening periods for employees met:					
<b>3.2.4</b> Details of any gaps in screening:					
<b>3.2.5</b> Screening documents meet requirements:					
<b>3.3 Finances</b>					
<b>3.3.1</b> Tax Clearance inspected:  Tax Certificate No:  Valid Until:					
<b>3.3.2</b> Details of any director or shareholder loans:					
<b>3.3.3</b> Bank Statements:					
<b>3.3.4</b> Details of start-up funds:					
<b>3.3.5</b> Cash Flow Plan:					
<b>3.3.6</b> Details of projected earnings:					
<b>3.3.7</b> Details of means and method of paying staff:					
<b>3.3.8</b> Details of all financial accounts:					
<b>3.3.9</b> Details of all signatories on account(s):					
<b>3.4 Insurance</b>					

<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>3.4.1</b> Details of insurance:					
<b>3.4.2</b> Details of insurance excess, and details of funds held:					
<b>3.5 Premises</b>					
<b>3.5.1</b> Confirm all records, etc. stored in secure confidential manner:					
<b>3.5.2</b> Plan of office inspected and security features identified:					
<b>3.5.3</b> Confirm protection by intruder alarm:					
<b>3.5.4</b> Examine details of alarm installer:					
<b>3.5.5</b> Confirm details of alarm monitoring:					
<b>3.5.6</b> Safety and security of records fit for purpose:					
<b>3.5.7</b> Protection of electronic records fit for purpose:					
<b>3.5.8</b> Verify procedure on the retention of records:					
<b>3.6 Compliance with Legislation</b>					
<b>3.6.1</b> Examine statement on compliance with legislation:					
<b>4.1 Staffing (General)</b>					

<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>4.1.1</b> Examine Staff Recruitment Policy Document:					
<b>4.1.2</b> Examine Screening Policy Document:					
<b>4.1.3</b> Personnel files inspected:					
<b>4.1.4</b> Examine Terms of Employment Document:					
<b>4.1.5</b> Examine Employee Code of Conduct Document:					
<b>4.2 Uniform</b>					
<b>4.2.1</b> Uniform inspected:					
<b>4.2.2</b> Confirm that uniform is distinguishable:					
<b>4.2.3</b> Confirm colouring and lettering:					
<b>4.2.4</b> Confirm aspects of identity number:					
<b>5.1 Training</b>					
<b>5.1.1</b> Examine Training Policy Document:					
<b>5.1.2</b> Confirm details of Training Administrator:					
<b>5.1.3</b> Verify induction training and on-site training:					
<b>6.1 Risk Assessments &amp; Safety Statement</b>					

<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>6.1.1</b> Examine Risk Assessment Procedures Document:					
<b>6.1.2</b> Inspect Risk Assessment Survey document:					
<b>6.1.3</b> Inspect Safety Statement:					
<b>6.1.4</b> Examine Event Security Management plan if required:					
<b>6.2 Command &amp; Control System</b>					
<b>6.2.1</b> Examine Command & Control System proposals:					
<b>6.2.2</b> Verify Command & Control system:					
<b>6.2.3</b> Examine Command & Control System Manual:					
<b>6.2.4</b> Verify Command and Control during periods when a venue is in lockdown (Event Security) proposals					
<b>6.3 Assignment Instructions &amp; Incident Report Log</b>					
<b>6.3.1</b> Examine sample Assignment Instructions examined:					
<b>6.3.2</b> Examine sample Incident Report Log:					

# Annex B

## Declaration of Compliance with Legislation

To be completed not more than 2 weeks prior to PSA 31:2018 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:-

- |  |           |                          |
|--|-----------|--------------------------|
| ▪ Planning and Development Act(s)  | Compliant | <input type="checkbox"/> |
| ▪ Licensing of Indoor Event Act(s)   | Compliant | <input type="checkbox"/> |
| ▪ Code of Practice for Safety at Indoor Concerts<br>(Dept. of the Environment and Local Government: 1998)            | Compliant | <input type="checkbox"/> |
| ▪ Code of Practice for Safety at Outdoor Pop Concerts<br>and other Outdoor Musical Events (Dept. of Education: 1996) | Compliant | <input type="checkbox"/> |
| ▪ Code of Practice for Safety at Sports Grounds<br>(Dept. of Education 1996)   | Compliant | <input type="checkbox"/> |
| ▪ 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 Act(s)   | Compliant | <input type="checkbox"/> |
| ▪ Data Protection Act(s)   | Compliant | <input type="checkbox"/> |
| ▪ Taxation and Social Welfare Act(s)   | Compliant | <input type="checkbox"/> |
| ▪ Payment of Wages Act   | Compliant | <input type="checkbox"/> |
| ▪ Immigration Acts 1999 to 2004  | Compliant | <input type="checkbox"/> |
| ▪ Employment Regulation Orders (ERO)   | Compliant | <input type="checkbox"/> |

Authorised Signatory \_\_\_\_\_

Date \_\_\_\_\_