



**AUDITING GUIDELINES
FOR AUDITING BODIES
(PSA74:2019)**

Standard For The Licensing
Of Security Service Providers

www.psa.gov.ie

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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. The PSA has prescribed PSA Licensing Requirements – Security Service Providers (PSA 74:2019) as the standard to be observed by contractors in the security industry.

These guidelines set out the auditing requirements to be followed by approved auditing bodies when auditing organisations in the Security Service Providers (PSA 74:2019) certification. The guidelines should be read in conjunction with the PSA

requirements document PSA Licensing Requirements - Security Service Providers (PSA 74:2019). For ease of use, this document includes the relevant clause from PSA 74:2019 with the auditing guidelines.

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

Auditing bodies are required to share auditing information on contractors who apply for a PSA licence. Auditing 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 – Security Service Providers (PSA 74:2019)*”, hereinafter referred to as PSA 74:2019, sets out the requirements to be achieved and maintained by contractors applying for a licence from the PSA in relevant sectors.

Contractors seeking a licence from the PSA must comply with PSA 74:2019. A contractor’s compliance shall be assessed against the requirements document by PSA approved auditing bodies in accordance with these guidelines.

2.2 Approved Auditing Body

2.2.1 Certification for licensing purposes will only be accepted from auditing bodies approved by the PSA to provide auditing services.

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

2.3 Audits

2.3.1 Contractors shall be subject to an audit by an approved auditing body at least once during each calendar year or at such intervals as the PSA may prescribe. The purpose of the audit is to verify compliance with PSA 74:2019.

2.3.2 The PSA may request auditing bodies to focus their audit on certain areas of an organisation’s activities. Such request will be within the terms of PSA 74:2019.

2.3.3 All audits shall involve a visit to the contractor’s 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 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 74:2019 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.

- 2.3.4** 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.
- c. where a sole trader changes to a company and the former sole trader is the exclusive director of the new company.

- 2.3.5** Organisations that change address shall be subject to a visit at their new address before their certification can be amended.

- 2.3.6** 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.

- 2.3.7** Where PSA 74:2019 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.

As a minimum, the size of a sample shall equal the square root of the total records. 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 should be recorded.

2.3.8 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.

At the same time, the auditing body shall email the PSA a copy of each new certificate (in PDF format).

2.3.9 When an audit has been completed the auditing 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 in accordance with clause 2.3.8 shall be accepted as notification.

2.3.10 Audit reports shall be in the format set out in **Annex G**.

2.3.11 Where a contractor fails to obtain full compliance to PSA 74:2019 or fails to arrange an audit for same, the auditing body shall notify the PSA.

2.4 Absence of Contracts

Where an organisation who holds a PSA licence is unable to complete an audit because of an absence of contracts the requirements of CB 3:2015 shall come into operation.

2.5 Audit Compliance

2.5.1 Full compliance with PSA 74:2019 in accordance with 2.4 must be achieved before certification can be issued.

2.5.2 Where an organisation fails to comply with any of the requirements of the requirements document, 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.

2.5.3 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.

2.5.4 When finalised audit reports should detail all non-compliances and corrective actions.

2.6 Audit Non-Conformances

2.6.1 Where a contractor fails to meet any of the requirements of PSA 74:2019 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) A category 1 non-conformance is present, or
 - b) 3 or more category 2 non-conformances are present, or
 - c) 6 or more category 3 non-conformances are present, or
 - d) 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:
 - a) Less than 3 category 2 non-conformances are present, or
 - b) Less than 6 category 3 non-conformances are present, or
 - c) A combination, where a) is not broken, 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.

2.6.2 Where the 5 week period referred to in 2.6.1 has elapsed and an organisation has not passed an audit, the auditing body shall write to the organisation.

The organisation shall be required to rectify all outstanding matters within 14 days. They shall be advised that failure to rectify 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.

2.6.3 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.

2.7 Audit Reports

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

- The name, address and contact details of the auditing body,
- The name of the auditor(s) who undertook the audit,
- The date(s) of the audit(s),
- The name, address, contact details and PSA licence number of the contractor,
- A summary of the audit highlighting any non-conformities found.
- Update report on screening and training records reviewed to date (see Annex A).

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

2.8 Certification

2.8.1 All certificates for PSA 74:2019 issued by auditing bodies shall contain the organisations address as recorded on the organisations PSA licence.

3. ORGANISATION

3.1 Ownership

- 3.1.1 Ownership and management of the organisation shall be clearly stated in writing. The directors, company secretary and all individuals who have a shareholding or control of more than 5% of the company shall 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.

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 in the audit report.

Non Compliance: Category 3

- 3.1.2 The names of all directors of the organisation shall be properly recorded in the Companies Registration Office, and shall be as named. Screening of all directors shall be carried out as set out in section 4.1. A record of this screening shall be recorded and held on file, these records shall be available to an authorised official.

The auditor shall examine the records to ensure compliance. The audit report shall confirm that the details provided correspond to the director details recorded with the Companies Registration Office, a copy should be included in the report.

A record of screening of each individual must be examined.

Non Compliance: Category 3

- 3.1.3 Screening shall 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.

Non Compliance: Category 1

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.

Note: Where an organisation is a limited or unlimited company, at least one director should demonstrate that they possess the required competence. Where an organisation is a partnership, at least one partner should demonstrate that they possess the required competence. All sole traders should demonstrate that they possess the required competence.

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.

Non Compliance: Category 1

3.1.5 Where an organisation cannot demonstrate compliance with **3.1.4**, the organisation shall ensure one of its senior management team possess the required competence and skill. The organisation shall ensure continuous compliance with this level of competence in the organisation at all times while holding a licence.

Where an organisation does not meet the provisions of clause 3.1.4 but indicates that clause 3.1.5 is being applied, the auditor shall examine and verify the years continuous experience requirement and confirmation of a senior management role of the nominated person.

Non Compliance: Category 1

3.1.6 Details of former businesses, directorships, partnerships, or sole trades etc. of directors shall 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 is declared, a signed written declaration must be provided.

Non Compliance: Category 3

3.1.7 Details of any bankruptcy whether discharged or undischarged of a principal or director of the organisation shall be held on file and shall 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 the name of the person involved and the period of the bankruptcy recorded in the audit report.

Where none is declared, a signed written declaration must be provided.

Non Compliance: Category 3

3.1.8 Where a principal, director, company secretary, shareholder or other member of the organisation has been a principal, director, or shareholder of a former security business, details of this business shall be disclosed.

The auditor shall check with the organisation whether a principal or any director, company secretary, shareholder or other member of the organisation has been a principal, director, or shareholder of a former security business.

Details shall be recorded in the audit report, where none is declared, a signed written declaration must be provided.

Non Compliance: Category 3

3.1.9 Where a principal has a beneficial interest in another organisation subject to licensing by the PSA, a declaration of that interest shall 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 in the audit report.

Where none is declared, a signed written declaration must be provided.

Non Compliance: Category 3

3.1.10 All principals shall 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. Where none is declared, a signed written declaration must be provided.

Non Compliance: Category 3

3.1.11 The principal shall ensure that an up to date organisation chart is prepared which details all the persons involved and all persons proposed to be involved in the organisation. The chart shall 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 shall confirm to the auditor if any third parties provide regular ancillary 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.

Non Compliance: Category 3

3.1.12 All directors, management, supervisory and operational, 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.

Non Compliance: ----Not Currently Applicable----

3.2 Finances

- 3.2.1** The organisation must be tax compliant. Holders of eTax Clearance certificates shall provide the TRN and 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 shall 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 valid. The following details from the tax clearance certificate shall be recorded in the audit report:

- ┆ Date Accessed
- ┆ Tax Clearance Status

Companies based outside of the State who are not obliged to register for tax may produce a 'hard copy' Tax Clearance Cert.

Non Compliance: Category 1

- 3.2.2** Loans from directors and/or shareholders shall be loan capital, subordinated to all other creditors.

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

Non Compliance: Category 2

3.2.3 Each organisation shall produce and make available, a projected cash flow statement for the next 12 months upon request by authorised officials. For new organisations, a cash flow forecast for the first 12 months of business shall be provided. (see Annex C for suggested format).

Where requested by the PSA 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 company within the industry.

A copy shall be attached to the audit report.

Non Compliance: Category 2

3.2.4 The organisation shall make available, a statement signed and dated by a principal of the organisation detailing all the organisations bank accounts and all persons who are signatories to those accounts.

The auditor shall inspect the statement. The statement shall be attached to the audit report.

Non-Compliance: Category 2

3.3 Insurance

3.3.1 Organisations should take advice from their insurance broker to determine the amount of cover needed, which should be based on the size of the company and the work that they undertake.

Organisations shall carry the following insurance:

- ┆ Employer liability and public liability
- ┆ Motor insurance

The auditor shall inspect the organisation's insurance and verify insurance cover is in place. The audit report shall record the maximum liability in each area.

- ┆ Employer liability and public liability
- ┆ Motor insurance

Non Compliance: Category 1

3.3.2 All insurances shall be relevant to the nature of the business undertaken. Where the services provided dictate, cover for the following may be required:

- ┆ Product Liability
- ┆ Professional indemnity
- ┆ Deliberate act
- ┆ Fidelity
- ┆ Defamation
- ┆ Efficacy
- ┆ Loss of keys and consequential loss of keys
- ┆ Wrongful arrest

The auditor shall inspect the organisation's insurance quote(s) and verify that the insurance cover is in place and is appropriate to the nature of the business. The audit report shall record which of the following are covered and the maximum liability in each area.

- ┆ Product Liability
- ┆ Professional indemnity
- ┆ Deliberate act
- ┆ Fidelity
- ┆ Defamation
- ┆ Efficacy
- ┆ Loss of keys and consequential loss of keys
- ┆ Wrongful arrest

Non Compliance: Category 1

3.3.3 The organisation shall have sufficient funds to cover three times the value of the insurance excess amount of their insurance policy.

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

Non Compliance: Category 1

3.4 Premises

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

Non Compliance: Category 2

3.4.2 Any administrative office covered by **3.4.1** above shall be protected by an intruder alarm system which has been installed and maintained in accordance with prevailing PSA requirements. The organisation shall keep a written record containing the name, address, contact number and PSA licence number of the intruder alarm installer as well as details of the maintenance and service history.

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

Non Compliance: Category 2

3.4.3 The alarm shall be remotely monitored by a PSA licensed Alarm Monitoring Centre. The organisation shall keep a written record of the name, address, contact number and PSA licence number of the Alarm Monitoring Centre providing this 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.

Non Compliance: Category 2

3.4.4 The organisation shall maintain a procedures manual detailing its controls for protecting electronic records and data against unauthorised access, alteration, disclosure, loss or destruction.

The auditor shall inspect the organisation's procedures manual on how to protect electronic records against unauthorised access, alteration, disclosure, loss or destruction.

The auditor shall be satisfied that the procedures are properly documented and are fit for purpose. This shall be recorded in the audit report.

Non Compliance: Category 2

3.5 Organisation Information

3.5.1 The organisation shall clearly state its PSA licence number(s) for all categories for which it is licensed to provide services on all organisational letterheads, contracts, website, advertising and promotional documents and/or media.

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 confirm that advertising and media material both visual and audio, states that the organisation is licensed by the Private Security Authority.

**Non Compliance: Category 1 for engaging in unlicensed activity.
Category 3 for breaches in advertising and promotional activity.**

3.5.2 Where the provision of a contract is required by a client such contract shall include the following minimum provisions in respect of the organisation providing the service:

- a) Total costing (including VAT) for the service to be provided and the arrangements for payment.
- b) Obligations to the client, with references to any specialist advice to be provided (survey), contracted duties (installation/maintenance) and compliance with industry standards or codes of practice.
- c) Agreement on conditions for the use of subcontractors, where applicable.
- d) Period of the contract and requirements for its termination with specific reference to any exclusions, penalty clauses or other restrictions.
- e) Details of complaints procedures and complaints management procedures.
- f) The scope of the service to be provided.
- g) Agreement by client required prior to any remote access of electronic security system

The auditor shall choose a number of contracts to confirm this requirement is met.

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.

The auditor shall record in the report the quantity of contracts selected and the reference number.

Non Compliance: Category 2

3.5.3 The agreed contract shall be signed by a principal of the organisation and of the client and a copy retained by each. Where the client chooses not to sign or return a contract the organisation shall maintain evidence on file of postage (registered) or delivery of the contract to the client and any subsequent correspondence, or exchange of electronic contracts.

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 Organisations engaging subcontractors for any licensable activity in the provision of services shall require the subcontractor to provide evidence of compliance with PSA standards. In addition, subcontractors shall provide evidence of holding the required, current valid PSA licence before the services of that subcontractor are engaged.

The auditor shall examine the records in relation to subcontractors and confirm that each contractor held a PSA licence when a contract was awarded.

The auditor shall record the PSA licence number of each subcontractor or record 'none' where no subcontractors were engaged.

Non Compliance: Category 1

3.6 Quotations in pursuance of Contracts or Business

3.6.1 Organisations shall provide each prospective client with a clear written quotation which shall, if agreed and accepted, form part of the contract.

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 74:2019.

The auditor shall record in the their findings together with the number and ratio of quotations selected in the report.

Non Compliance: Category 2

3.6.2 The documented quotation shall include the total cost for the service and method(s) of payment.

The auditor shall record their findings in the audit report, based on the sample of records selected at 3.6.1.

Non Compliance: Category 2

3.6.3 The provisions of **3.6.1** and **3.6.2** do not apply in the case of emergency call outs. However, in all cases not covered by **3.6.1** and **3.6.2** the prospective client shall be provided with a verbal quotation in advance of all work.

The Auditor shall examine the written procedures/and records regarding the provision of verbal quotations in such cases.

The auditor shall record their findings in the audit report.

Non Compliance: Category 2

3.7 Compliance with Legislation

3.7.1 The organisation shall have and make available to a client or potential client a statement signed and dated by a principal of the organisation, of its compliance with all relevant legislation and shall state specifically its compliance, where relevant, with the following:

- ┆ Safety, Health and Welfare at Work Act(s).
- ┆ Organisation of Working Time Act(s).
- ┆ Private Security Services Acts.
- ┆ Taxation and Social Welfare Acts.
- ┆ Payment of Wages Act.
- ┆ Immigration Acts.
- ┆ National and EU product compliance legislation.
- ┆ Building Regulations.
- ┆ Data Protection.

Relevant verification shall be available to all statutory bodies and their agents, including but not limited to:

- The Private Security Authority.
- Auditing bodies approved by the Private Security Authority.

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:

- ┆ Safety, Health and Welfare at Work Act(s).
- ┆ Organisation of Working Time Act(s).
- ┆ Private Security Services Acts.
- ┆ Taxation and Social Welfare Acts.
- ┆ Payment of Wages Act.
- ┆ Immigration Acts.
- ┆ National and EU product compliance legislation.
- ┆ Building Regulations.
- ┆ Data Protection.

The statement 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

3.7.2 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 provide the auditor with the name and role within the organisation of the person responsible.

The name and role shall be recorded in the audit report.

Non Compliance: Category 2

4. STAFFING

4.1 Selection and Pre-Employment Screening

4.1.1 General

4.1.1.1 The organisation shall carry out detailed pre-employment enquiries to ensure that all personnel are competent and of good character.

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

The auditor shall record their findings together with the number and ratio of records selected in the report.

Non Compliance: Category3

4.1.1.2 All persons offered employment by the organisation for posts involving services subject to licensing by the PSA or posts involving access to details of clients shall be screened.

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 identified and included.

The auditor shall record their findings together with the number and ratio of records selected in the report.

Non Compliance: Category1

4.1.1.3 A personnel file shall be established for each person subject to screening.

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 D** shall be completed.

The auditor shall record their findings together with the number and ratio of records selected in the report.

Non Compliance: Category 1

- 4.1.1.4 All applicants for relevant employment shall be required to provide the following:
- a) An acknowledgement signed and dated by the applicant, that misrepresentation, or failure to disclose material facts may constitute grounds for dismissal.
 - b) A signed statement authorising an approach to former employers, State institutions, personal referees, etc., for verification of their career and employment record (see Annex A, Form 1 for a suggested format).

The auditor shall inspect a selection of personnel files and confirm that they include the required statement of authorisation and the acknowledgement document signed and dated by employees in accordance with clause 4.1.1.4 of PSA 74:2019. The auditor shall record their findings together with the number and ratio of records selected in the report.

Non Compliance: Category 2

- 4.1.1.5 Probationary employment should be for a period of six months and in no case shall exceed a period of nine months.

The auditor shall confirm that, in the case of probationary employment, the time period has not exceeded 9 months. The auditor shall record their findings together with the number and ratio of records selected in the report.

Non Compliance: Category 3

- 4.1.1.6 Certified copies of all relevant personnel and screening documentation shall be held on file.

The auditor will inspect a selection of personnel files to verify the certified copies of relevant personnel and screening documentation held. The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category1

- 4.1.1.7 The requirements in Section 4.1 shall be applied equally to full-time and to part-time employees and at all levels of seniority, including directors.

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: Category1

4.1.1.8 The relevant provisions of these requirements shall apply to all ancillary staff including those employed on a temporary basis.

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 screening period shall not be less than five years or from school leaving, whichever is the shorter duration.

The auditor shall confirm that screening periods are in accordance with clause 4.1.1.9 of PSA74:2019.

The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 1

4.1.1.10 The employee shall be classed as 'employed subject to satisfactory screening' whilst screening is continuing and shall be subject to a strict system of monitoring and supervision during this period.

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 Screening covering the whole of the screening period shall be completed no later than ten weeks after employment has commenced.

The auditor shall inspect a selection of personnel files and confirm that screening has been completed within the time frame required in clause 4.1.1.11 of PSA 74:2019.

The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 1

4.1.1.12 Full screening for the period covered under **4.1.1.9** above shall apply.

Screening for a shorter period can be carried out where:

- a) an employee or director holds a current PSA licence, and
- b) has, immediately prior to the commencement of this employment, been employed by another licensed security provider, and
- c) the previous employer referred to in b) has carried out the full screening requirements within the preceding five years.

Where a), b) and c) above apply, screening shall be carried out from the date the screening by the previous employer had been conducted until the commencement of this employment.

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 74:2019.

The auditor shall record their findings together with the number of records examined, in the report.

Non Compliance: Category1

4.1.1.13 Where the provisions of **4.1.1.12** apply, the previous licensed employer shall, upon receipt of a written request by an immediately subsequent employer covered by this standard, forward those parts of the employee's personnel file relating to details of screening and training undertaken by the previous employer. Any requested details in relation to other parts of the personnel file held by the previous employer shall be released only where the employee gives permission in writing to the previous employer to release such details.

The auditor shall confirm that where shorter screening in accordance with clause **4.1.1.12** of PSA 74:2019 occurred, that employees provided permission to former employers.

The auditor shall record their findings together with the number of records examined, in the report.

Non Compliance: Category1

4.1.2 Pre Employment Interview

4.1.2.1 Prior to the interview the applicant shall submit a curriculum vitae or other documentation containing:

- a) A list of the applicant's previous employers along with dates worked for each employer.
- b) Contact details for previous employers listed.
- c) Details of relevant training, qualifications and experience together with supporting documentation.
- d) Periods of unemployment.
- e) Applicant's current place of residence.

The auditor shall select a number of personnel files and inspect the pre-employment interview record in order to 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.

The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 2

4.1.2.2 A personal interview of a duration sufficient to assess the following shall be conducted by the organisation:

- a) The general ability, both physical and intellectual of the applicant and the overall demeanour of the applicant.
- b) Verification of personal documents e.g. birth certificate, driving licence, passport, service records, current security licence, work visa etc.
- c) The applicant's previous employment history and experience, including reason(s) for leaving previous employments.
- d) Verification of qualifications/training.
- e) The level of occupational fluency in respect of reading, writing and oral communication in the English language.
- f) The applicant's experience, if any, in the security industry.

The auditor shall select a number of personnel files and in order to confirm that the personal interview has been carried out and the requirements have been met. The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 2

4.1.2.3 Interview notes evidencing that the requirements set out in **4.1.2.2** above have been addressed shall be taken by the organisation and retained on the personnel file of the applicant.

The auditor shall select a number of personnel files to verify that interview notes are held on the personnel file and that the requirements have been met. The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 2

4.1.3 Character and Other References

4.1.3.1 Screening procedures shall include direct reference to former employers, educational authorities, etc., with confirmation by them, in writing, of periods of employment contributing to a continuous record of the career or history of the person being screened for the whole of the screening period, on a month-to-month basis. The direct reference shall include at least one attempt, in writing, by the organisation to obtain the continuous record referred to in this requirement.

The auditor shall select a number of personnel files in order to confirm that the screening procedures have been applied and the requirements have been met. The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 1

4.1.3.2 Where initial references are taken by telephone the following procedures shall be used:

- a) The telephone number of the person called shall be confirmed independently.
- b) Information given on the telephone by a referee shall be noted at the time of making the telephone call and shall be signed and dated by the member of staff making the telephone call and retained on the individuals screening file (see Annex A, Form 2 for a suggested format).
- c) A written request shall be forwarded to the referee within two working days of the telephone call being made seeking written confirmation of the information provided (see Annex A, Form 3 for a suggested format).
- d) The screening process shall not be regarded as complete until written evidence is obtained.
- e) The progress sheet shall be used to monitor and record the action taken (see Annex A, Form 4 for a suggested format).

The auditor shall ascertain the number of instances where references were taken by phone. The auditor shall inspect a selection of personnel files and confirm that the requirements set out in clause have been followed and are properly recorded. The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 1

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

Note. For the purposes of this document CVs or other personal documents are not acceptable as evidence of screening.

The auditor shall ascertain the number of instances where third party documents were provided for screening purposes and confirm that they are in accordance with the clause. The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 1

4.1.3.4 Where records are not available, the period for which the record is not available shall be treated as a gap.

The auditor shall ascertain the number of records where a gap has been recorded. The auditor shall then ensure that clause 4.1.3.5 has been applied.

Non Compliance: Category 1

4.1.3.5 Where there are gaps in the career record which cannot be independently confirmed in accordance with the written verification procedures, the following procedure shall be followed:

- a) Written statements from personal referees shall be used, provided they had personal knowledge of the person being screened on a month-to-month basis during the period covered.
- b) The organisation shall be satisfied as to the creditability of the personal referee.
- c) The written statement shall as a minimum confirm that the applicant was where he/she purported to be and may, subject to the credibility of the referee, include a character reference.
- d) A progress sheet shall be used to monitor and record the action taken.

Note. For the purposes of this document personal referees shall not include family members, work colleagues or friends.

Where records have been identified under clause 4.1.3.4, the auditor shall inspect a selection of personnel files and confirm that the requirements set out in clause have been followed and are properly recorded. The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 1

4.1.4 Evidence of Qualifications/Awards

4.1.4.1 Prior to commencement of employment the organisation shall ensure that the applicant has any qualifications or awards necessary for the duties to which the applicant will be employed.

The auditor shall confirm that relevant qualifications/awards have been received and are properly recorded. 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. The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 1

4.1.5 Work Permits, Authorisations and Permissions

4.1.5.1 The organisation shall ensure that all necessary documentation for work visa applications and permissions/authority to work is fully completed before the individual is employed. This applies to renewal of such applications also.

The auditor shall ask the organisation if they currently employ any persons requiring permission to work in Ireland, or have had such employees since their last audit.

The auditor shall confirm that all necessary records associated with the required documentation for work visa applications and permissions to work are in place. Where none is declared, a signed written declaration must be provided.

Non Compliance: Category 2

4.1.5.2 The organisation shall maintain a register of all employees who have applied for and obtained permission or authorisation from the State to work in Ireland. The organisation shall review the validity of these permissions or authorisations at least every 6 months and shall keep a documented record of such reviews.

The auditor shall inspect the organisation's register of those 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. The auditor shall confirm that all permissions to work in the State are current.

Non Compliance: Category 2

4.1.5.3 The organisation shall ensure that the register at 4.1.5.2 is held on site at the address recorded on the Private Security Services Licence.

The register should be available on site and contain details of all employees requiring permission.

Non Compliance: Category 1

4.1.6 Maintenance and Retention of Records

4.1.6.1 The basic details of the employee, covering verifiable history within the industry, dates employed, positions held, disciplinary offences and a comment on suitability for employment in the security industry shall be retained for not less than five years from the date the employment ceases. This information shall be verifiable in the form of readily retrievable records held at the organisations premises.

The auditor shall inspect a selection of personnel files and confirm that that they comply with the requirements contained in the clause.

The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 2

4.1.6.2 All records covered by 4.1.6.1 above shall be kept safe and secure against unauthorised access to, or alteration, disclosure or destruction of the data and against their accidental loss or destruction. Employers shall ensure that the records are retained for no longer than is necessary and in accordance with the recommendations of the Office of the Data Protection Commissioner.

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 be satisfied that such storage arrangements are in accordance with the requirements of the clause.

Non Compliance: Category 2

4.1.6.3 A list of all personnel currently employed both on a permanent and a probationary basis shall be maintained. In the case of those employed on a probationary basis, the dates on which probationary employment commenced and is to cease for each individual shall be recorded.

The auditor shall examine the list of current employees and ensure they are held and maintained in accordance with the clause.

Non Compliance: Category 2

4.1.7 Screening and Acquired Companies

4.1.7.1 Where it cannot be established by the records of an acquired organisation that screening to the required standard has already occurred, then this shall take place within a period not exceeding thirteen weeks from the date of acquisition.

Where applicable, the auditor shall confirm that screening has taken place in accordance with the clause.

Non Compliance: Category 1

4.2 Terms of Employment

4.2.1 All employees shall receive a clear, concise and unambiguous contract of employment and a staff handbook.

The auditor shall select a number of personnel files in order to confirm that that employees received a contract of employment and a staff handbook. A signed acknowledgement of receipt shall be on an employee's file.

The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 1

4.2.2 In addition to any mandatory requirements, terms of employment shall include the following information:

- a) Job title.
- b) Effective start date.
- c) Probationary period.
- d) Pay and Allowances.
- e) Hours of work, days of work, shift frequency and shift variables.
- f) Holiday entitlement.
- g) Sick pay (conditions of payment) and pension entitlement.
- h) Industrial injury procedure.
- i) Location of place of work (employer's address).
- j) Equipment to be supplied.
- k) Disciplinary and grievance procedures.
- l) Terms of notice and termination.
- m) Copies of any Collective Agreement covering the employment.
- n) Appeals procedure
- o) The Organisation's Health and Safety Statement.
- p) The Organisation's Equality policy

The auditor shall confirm that terms of employment are in accordance with PSA requirements.

Non Compliance: Category 2

4.3 Code of Conduct

- 4.3.1 All employees shall be instructed that under the terms and conditions of employment they shall:
- a) Complete the required tasks promptly and diligently, unless there is due and sufficient cause not to.
 - b) Ensure that all oral or written statements made by them, of whatever description, are true and accurate.
 - c) Maintain carefully all documents and ensure that any alterations, disposal, or erasure of documents is carried out only with proper authorisation.
 - d) Maintain confidentiality on any matter relating to the employer or his clients either past or present.
 - e) Ensure that any actions taken by them are such as not to bring discredit on the employer, the client or fellow employees.
 - f) Immediately notify any conviction for a relevant criminal or motoring offence to the employer.
 - g) Not allow unauthorised access to a client's premises.
 - h) Ensure that they use employer's equipment or facilities only with authorisation.
 - i) Continuously satisfy the requirements of PSA licensing.
 - j) Wear a correct identity badge or licence card, as prescribed by the PSA, at all times whilst on duty.

The auditor shall confirm that the organisation's code of conduct is in accordance with PSA requirements.

Non Compliance: Category 2

- 4.3.2 The code of conduct shall be signed by all employees.

The auditor shall select a number of personnel files in order to 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).

The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 2

- 4.3.3 Employers shall treat employees with courtesy and respect.

As per 4.3.1

4.4 Identification

- 4.4.1 The organisation shall ensure that all employees have an identity badge either in the form of an organisation issued badge, satisfying criteria prescribed by the PSA or alternatively the PSA issued licence card.

AG - The auditor shall confirm that the organisation complies with PSA requirements on identity badges.

Where licensing of employees has been introduced, employees shall wear their PSA licence card.

Non Compliance: Category 1

- 4.4.2 All employees shall be instructed on PSA requirements for wearing an identity badge.

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 badge, it shall ensure its periodic review. The duration between periodic reviews cannot exceed 24 months.

Where the organisation provides its own identity badges the auditor shall confirm that the identity badge is reviewed in accordance with PSA requirements.

Non Compliance: Category 2

- 4.4.4 There shall be in place formal arrangements for the withdrawal of organisation issued identity badges from an employee on request.

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 organisation shall have a clearly defined, documented training policy, authorised at senior management level within the organisation. The policy shall cover theoretical and practical skills and meet any training requirements laid down by the Private Security Authority.

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 74:2019.

Non Compliance: Category 1

5.1.2 The organisation shall 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 shall be recorded in the audit report.

Non-Compliance: Category 3

5.1.3 The training policy shall include a commitment to assess the effectiveness of all operational staff and to provide additional training where required.

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

Non-Compliance: Category 2

5.2 Induction Training

5.2.1 Training shall include a detailed organisation-specific, induction session covering organisation structure, ethos, policies and employee roles and responsibilities for all newly recruited employees. This element of training shall be delivered before the employee commences operational duties. Each employee shall acknowledge receipt of this training and associated documentation by signing a declaration. Such training shall be delivered by a competent member of staff and shall be recorded and this record shall be retained.

The auditor shall examine the training records of a selection of new employees and confirm that they have been certified as having received this training in accordance with PSA requirements.

The auditor shall record the number and ratio of records examined.

Non Compliance: Category 2

5.3 Specialist Training

5.3.1 Employers shall ensure that employees required to carry out duties or use equipment of a specialist nature are certified as having received the appropriate training in the subject matter.

The auditor shall identify employees that are required to carry out duties or use equipment of a specialist nature and confirm that they have been certified as having received this training in accordance with PSA requirements.

The auditor shall record the number and ratio of records examined, or 'none' where no specialist training is required.

Non Compliance: Category 2

5.3.2 Where risks are identified, in the course of carrying out a risk assessment, additional training, specific to these risks, shall be provided where training has not previously addressed the nature of the risk(s) involved.

The auditor shall examine the organisation's risk register and identify if any risks outlined in the clause were identified and record details of training provided. Where risks have been identified the auditor shall seek training details to address such risks.

Non Compliance: Category 2

5.4 Refresher Training

- 5.4.1 Procedures shall exist to assess the effectiveness of all employees, and where required refresher training shall be carried out.

The auditor shall ensure that the organisation has procedures in place to identify and carry out refresher training.

The auditor shall identify employees that require refresher training and have received this training in accordance with PSA requirements.

Non Compliance: Category 2

5.5 Supervisory and Management Training

- 5.5.1 Subject to PSA requirements and any associated guidelines, the organisation shall ensure that all operational supervisory and management staff receive documented training in consideration of their position and responsibilities.

The auditor shall verify that all operational supervisory and management staff have received training in accordance with PSA requirements.

The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 2

5.6 Training Records

5.6.1 The training administrator shall ensure that proper training records are maintained.

The auditor shall select a number of training records in order to confirm that PSA requirements have been met.

The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 2

5.6.2 Individual training records relating to training provided by the organisation shall indicate the date, training organisation, details of certification and subject(s) covered. These training records shall be signed by the employee and countersigned by the training administrator and retained as part of the employee's record.

The auditor shall select a number of training records in order to confirm that PSA requirements have been met.

The auditor shall record their findings together with the number and ratio of records selected, in the report.

Non Compliance: Category 2

5.6.3 Verification of all training shall be available for inspection at the address recorded on the Private Security Services Licence.

The auditor shall have access to the training records to ensure all requirements are being met.

Non Compliance: Category 2

5.6.4 All refresher training undertaken by employees shall be recorded and the record held and retained on the employee's personnel file by the employer.

As per 5.5.1

5.6.5 Records shall indicate where further training is required.

A schedule of planned training shall be completed.

Non Compliance: Category 2

6. OPERATIONS

6.1 Security

6.1.1 Procedures shall be established for all staff to ensure the security of information and property to which they have access during the course of their employment.

The auditor shall inspect the organisation's procedures, including instructions to staff dealing with or having access to information and/or property during the course of their employment.

Non Compliance: Category 1

6.1.2 Organisations shall have a policy in place to ensure compliance with the Data Protection Acts 1988 to 2018 with regard to data collection and retention, and have systems in place to restrict access to the personal data where necessary. Data protection policies should address all of the following issues:

- The basis for organisations holding personal data.
- The adequacy and relevance of data held.
- The purpose of retaining data.
- Security measures for the protection of data.
- Data retention.
- Maintaining the accuracy of data.
- Restriction of access to the data.
- Data disposal procedure.
- Data breach reporting procedure.

The auditor shall inspect the organisation's Data Protection Policy to ensure that it meets the requirements.

Non Compliance: Category 1

6.1.3 Organisations shall keep confidential any knowledge of their clients' business or operations acquired through the provision of services. In particular, structures and procedures shall be put in place and implemented to ensure that any details relating to the client's security equipment, procedures and practices must be subject to the appropriate level of access within the organisation's company or business.

The auditor shall inspect the organisation's procedures on confidentiality and confirm that they meet PSA requirements.

Non Compliance: Category 1

6.1.4 Any details relating to the client's business, premises, residence, assets, procedures or any other aspect of knowledge of the client gained by the organisation and employees, the disclosure of which can be reasonably construed as compromising the business or security of the client, shall not be disclosed or made known in any way to a third party or third parties, except with the express written permission of the client. Where written permission is granted, the organisation shall retain this on file and shall produce this if requested by an appropriate authority.

The auditor shall inspect the organisation's procedures and records and confirm that PSA requirements are being met.

Non Compliance: Category 1

6.1.5 It shall be a condition of any contract that requires the organisation to hold keys/codes that such keys/codes shall only be surrendered to an authorised representative of the client upon receipt of a written request. Where the client does not give written authorisation the organisation shall not surrender the keys referred to above. The organisation shall comply with any PSA licensing requirement for key holding.

The auditor shall confirm that the organisation's procedures in respect of the holding and surrender of client keys is in accordance with PSA requirements

Non Compliance: Category 1

6.1.6 Organisations shall have procedures in place to ensure the security of information held in an electronic format. Appropriate security measures such as passwords and encryption shall be in place and back up records held securely. Confidential records held in an electronic format shall be backed up at least once a week. Back up records shall be held securely and in such a manner that a threat to the integrity of one set of records will not pose a threat to the other set.

The auditor shall confirm that the organisation's procedures in respect of the security of client information is in accordance with PSA requirements

Non Compliance: Category 1

6.1.7 It shall be a condition of any contract that requires the organisation to have access to the client's terminals or servers either on-site or off-site, that the organisation take appropriate security measures to prevent unauthorised or unlawful access to the terminals and/or servers. Any remote access to a client's electronic security system should not be undertaken without the written permission of the client.

The auditor shall confirm that the organisations has procedures in place and have appropriate security measures in accordance with PSA requirements

Non Compliance: Category 1

6.1.8 A record of visits to all client premises and records of all access to a client's system on a remote basis shall be kept for a minimum of three years and shall include details of the service provided and the name and PSA licence number or works number of the person(s) who provided the service. Upon expiration of the required retention period the organisation shall dispose of the relevant records in a secure and confidential manner.

Note: National legislative requirements may entail retention of records for longer periods of time.

The auditor shall inspect the organisation's records and confirm that PSA requirements are being met.

Non Compliance: Category 3

6.2 Vehicles and Equipment

- 6.2.1 All liveried vehicles shall clearly display the organisation's name, badge or logo and telephone number(s).

The auditor shall inspect a sample of the organisation's vehicle(s) and confirm that they comply with PSA requirements.

Non Compliance: Category 3

- 6.2.2 Employers shall ensure that driving licences of staff involved in driving operational vehicles are valid for the duration of each such employee's period of employment. Driving licences shall be inspected annually and a record of this kept on file.

The auditor shall request details of all staff involved in the driving of vehicles and inspect the employee's files to ensure that the requirements of clause 6.2.2 of PSA 74:2019 are met.

Non Compliance: Category 2

- 6.2.3 All vehicles and equipment used in connection with the provision of services shall be in working order and be regularly maintained.

The auditor shall inspect the maintenance and service documentation of the organisation's vehicles and equipment and confirm that maintenance and service is in accordance with manufacturer's recommendations.

Non Compliance: Category 3

- 6.2.4 All employees shall sign for all equipment issued and give an undertaking to return any equipment issued immediately on request.

The auditor shall inspect the organisations procedures for the issue and return of equipment.

Non Compliance: Category 3

7. COMPLIANCE WITH PSA LICENSING

7.1 Compliance With Standards

7.1.1 Organisations shall maintain compliance with this standard during the term of the licence. Failure to maintain compliance may result in the PSA taking action against the licensee up to and including the revocation of the licence.

The auditor shall record any instances of non-compliance with PSA 74:2019 which come to their attention in the audit report.

Non Compliance: Category

7.1.2 Organisations shall be subject to an audit by an approved auditing body at least once during each calendar year or at such intervals as the PSA may prescribe. The purpose of the audit is to verify compliance with the specified standards.

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 An audit report shall be completed by the approved auditing body for each audit undertaken and the organisation shall agree to the auditing body providing a copy of the report to the PSA.

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 Organisations shall give their permission to the approved auditing body to provide the PSA with information in accordance with provisions 7.1.5 and 7.1.6

The auditor shall confirm that the organisation has provided the permission required.

Non Compliance: Category 1

7.1.5 Where an organisation fails to undertake or complete an audit, the auditing body shall notify the PSA of the failure and the reason for same.

Non Compliance: Category 1

7.1.6 Where an organisation is found to be non-compliant with a standard the auditing body shall notify the PSA of the reason for the non-compliance and any resulting action taken against the organisation.

7.2 PSA Licensing Requirements

7.2.1 The organisation shall ensure that an inspector appointed by the PSA, may at any time, enter any place where a security service is being provided and provide any information requested by an inspector in the course of any inspection or investigation.

Non Compliance: Category 1

7.2.2 Organisations shall be familiar with all legislation relevant to the provision of their business.

The auditor shall seek a statement signed by the principal of the organisation confirming that it is familiar with all legislation relevant to the provision of their business.

7.2.3 During the term of the licence organisations shall comply with all relevant and current legislation and specifically the following:

- a) The Private Security Services Acts and Regulations.
- b) Organisation of Working Time Acts.
- c) Taxation and Social Welfare Acts.
- d) Payment of Wages Acts.
- e) Immigration Acts.
- f) Health and Safety at Work Regulations.
- g) European Product Legislation.
- h) Building Regulations.
- i) Companies Act 2014 (where appropriate).
- j) Data Protection Acts 1988 to 2018.

The auditor shall confirm that the organisation complies with PSA requirements of clause 7.2.2 of PSA 74:2019.

Non Compliance: Category 2

7.2.4 The organisation shall within 7 days notify the PSA in writing if any of the following occur:

- a) Change of name of the licence holder.
- b) In the case of a body corporate, change in company directors.
- c) In the case of a partnership, change in partners.
- d) Change of ownership of the company. In the case of a body corporate this includes a change in any shareholding above 5%.
- e) Change of address from which the security service is being provided.
- f) Change of registered address if this is different from address at e) above.
- g) Change in the legal status of the licence holder.
- h) Any conviction against the licence holder whether in relation to the business of the licence holder or other matter. In the case of a body corporate this includes any convictions against a company director. In the case of a partnership this includes any conviction against a partner.

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

- that the requirements of clause 7.2.4 of PSA 74:2019 has not applied to them since their last audit, or
- that they have complied with the requirements of clause 7.2.4 of PSA 74:2019 and notified the PSA in a change in their circumstances. Details of the change should be set out in the statement.

The statement shall 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

ANNEX A - ONGOING SCREENING & TRAINING RECORDS

Organisation: _____

Address: _____

PSA Licence No. _____ Auditing 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: _____

Auditor Signature: _____ Date: _____

ANNEX B DECLARATION BY DIRECTOR

Organisation: _____

Address: _____

PSA Licence No. _____ Auditing 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:

Name	Address	PPSN	Date of Birth

Accountant/Solicitor Signature: _____

Accountant/Solicitor Name: _____
(Block Capitals)

Date: _____

ANNEX C DECLARATION OF COMPLIANCE WITH LEGISLATION

To be completed not more than 2 weeks prior to annual PSA 74:2019 Audit

Organisation: _____

Address: _____

Registration No. _____ PSA Licence No. _____

I/We confirm that the organisation named above is 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"/>
Immigration Acts	Compliant	<input type="checkbox"/>
National and EU product compliance legislation	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 D 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	
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 timeframe (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. Interview notes on file (Clause 4.1.2.3)	
12. References, where applicable, are on file (Clause 4.1.3.1 & 4.1.3.2)	
13. Third party documents on file (Clause 4.1.3.3)	
14. Evidence of qualification or copy of licence on file (Clause 4.1.4.1)	
15. Records maintained (Clause 4.1.6.1)	
16. Screening and Acquired Companies (Clause 4.1.7.1)	
17. Terms of Employment (Clause 4.2.1 and 4.2.2)	
18. Code of conduct signed and on file (Clause 4.3.2)	
19. Training records held with Personnel File (Clause 5.6.2)	

Auditor Signature: _____ Date: _____

ANNEXE INFORMATION NOTE ON PSA 74:2019 AND DATA PROTECTION

Clause 4.1.6.2 of PSA 74:2019 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 employee's 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 Commission 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 from the website of the Data Protection Commission, www.dataprotection.ie.

ANNEX F PRE – AUDIT CHECKLIST TEMPLATE

Organisation: _____

Address: _____

PSA Licence No. _____ Auditing Body _____

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

confirm that there have been no changes to the following clauses of PSA 74:2019 in so far as they affect _____ since _____
(Organisation) (Date)

ORGANISATION/FINANCE

(Please ✓)

1. Clause 3.1.1 – Ownership and Management of Organisation
2. Clause 3.1.2 – Details of Directors
3. Clause 3.1.3 – Competence to provide security service
4. Clause 3.1.5 – Details of any bankruptcy of directors or principals
5. Clause 3.1.6 – Beneficial interest in other organisations
6. Clause 3.1.8 – Beneficiary of the organisation
7. Clause 3.1.9 – Organisation Chart attached
8. Clause 3.2.1 – Current Tax Clearance Certificate attached

Signature _____

Date _____

Position in Organisation _____

ANNEX G - PSA74:2019 AUDIT REPORT

Name of Auditing Body					
Address					
Phone No			Email Address		
Name of Auditor(s)				Date of Audit	
				Audit Duration (in hours)	
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	
2.3 Audits	
<p>2.3.1 Where the PSA has requested that an audit focus on certain areas of an organization's activities, a brief report in addition to the specific PSA 74:2019 requirements shall be provided. This report may include the auditor's observations, organization's response to audit, etc.</p>	

PART 1 COMMON PROVISIONS

Requirements	Audit Tests/Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
3. ORG ANISATION					
3.1 Ownership					
<p>3.1.1 Names and contact details of each person to be recorded:</p>					
<p>3.1.2 Names and contact details of all directors and company secretary to be recorded:</p> <p>Details provided match details recorded with the CRO:</p> <p>Screening Requirements Met:</p> <p>Declarations signed by accountant/solicitor where director/company secretary with company in excess of 5 years:</p>					

Requirements	Audit Tests/Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<p>3.1.4 Verified evidence of 5 years continuous experience provided:</p> <p>Where was experience obtained:</p>					
<p>3.1.5 Verified evidence of 5 years continuous experience and evidence of senior role:</p> <p>What role and where was experience obtained:</p>					
<p>3.1.6 Details former businesses, directorships, partnerships or sole trade etc.:</p>					
<p>3.1.7 Details of any bankrupt person:</p>					
<p>3.1.8 Details of former security business:</p>					

Requirements	Audit Tests/Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
<p>3.1.9 Details of any beneficial interest in another organisation:</p>					
<p>3.1.10 Details of beneficiaries of the organisation not identified at 3.1.1 or 3.1.2:</p>					
<p>3.1.11 Copy of organisation chart provided where not previously supplied at Pre-Audit checklist:</p>					
<p>3.1.12 Name and PSA licence number of all supervisor and management staff who undertake licensable activities: Not applicable until employee licensing introduced</p>					

Requirements	Audit Tests/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/Access No: Issued/Printed Date: Valid Until:					
3.2.2 Details of any director or shareholder loans: Date of Loan: Amount of Loan:					
3.2.3 Cash Flow Statement inspected: Copy Provided:					
3.2.4 Statement on bank signatories provided:					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
3.3Insurance					
3.3.1 Details of Employer liability and public liability insurance:					
3.3.2 Details of other insurance:					
3.3.3 Details of funds held to cover insurance excess:					

Requirements	Audit Tests/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 :					
3.4.4 Verified controls for protecting electronic records:					
3.5 Organisation Information					
3.5.1 PSA Licence Number(s) contained on letterheads, contracts, and advertising etc.:					

Requirements	Audit Tests/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:					
3.6 Quotations for Contracts					
3.6.1 Written quotation comply with requirements:					
3.6.2 Written quotation comply with requirements:					
3.6.3 Written Evidence of oral contract					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
3.7Compliancewith Legislation:					
3.7.1 Statem ent on compliance with legislationprovided:					
3.7.2 Details of management team with responsibility for the act:					
4.ST AFFING					
4.1 Selection & Pre-Employment Screening					
4.1.1General					
4.1.1.1Preem ploym ent recordsinspected: Requiredenquiries completed:					
4.1.1.2Required screening undertaken:					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
4.1.1.3Required personnelfiles exist:					
4.1.1.4 Statements and acknowledgements on files:					
4.1.1.5 Probationary Employmenttimeframe meets requirem ents:					
4.1.1.6Certifiedcopies of personnel and screening docum entationonfile:					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
<p>4.1.1.7Screening recordsfor part-tim e employees and directorsinspected:</p> <p>Screening completed:</p>					
<p>4.1.1.8Screening recordsfor tem porary& ancillarystaffinspected:</p> <p>Screening completed:</p>					
<p>4.1.1.9Screening periods complied with:</p>					
<p>4.1.1.10 Monitoring & supervision procedu res for provisional employees in place:</p>					
<p>4.1.1.11 Screening completed within 10 weeks of employm ent commencing:</p>					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
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:					
4.1.2 Pre-Employment Interview					
4.1.2.1 Preinterview 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:					

Requirements	Audit Tests/Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
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:					
4.1.3.3 Requirements on third party documents met:					
4.1.3.4 Records with gaps identified:					
4.1.3.5 Verified procedures for dealing with gaps:					
4.1.4 Evidence of Qualifications					
4.1.4.1 Evidence of qualifications/awards received:					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
4.1.5 Work Permits, Authorisations, etc					
4.1.5.1 Does the organisation have any employees who require permissions to work:					
4.1.5.2 Register of employees in place and in line with PSA requirements:					
4.1.5.3 Current permissions are in place and available on site:					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
4.1.6Maintenance and Retentionof Records					
4.1.6.1 All PSA required employee details held on file:					
4.1.6.2 Storageof Recordssecure: Records retained in accordance with Data Protection Commissioner:					
4.1.6.3 List of personnel maintainedasrequired:					
4.1.7Screeningand Acquired Companies					
4.1.7.1 Screening requirem entsfor acquired com panies met:					

Requirements	Audit Tests/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:					

Requirements	Audit Tests/Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
4.4 Identification					
4.4.1 Identity badge conforms to PSA requirements:					
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 Tests/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 PS requirements met:					
5.1.2 Details of Training Administrator: Qualifications:					
5.1.3 Training policy includes procedures to assess staff and provide additional training :					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
5.2 Induction Training					
5.2.1 Induction training requirements met:					
5.3 Specialist Training					
5.3.1 Specialist training provided where required:					
5.3.2 Training for all systems in accordance to identified risks:					
5.4 Refresher Training					
5.4.1 Refresher training requirements met:					
5.5 Supervisory and Management Training					
5.5.1 Appropriate training provided to operational supervisory and management staff:					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
5.6 Training Records					
5.6.1 Training records inspected&m aintained:					
5.6.2 Training records meet PSA requirements:					
5.6.3/5.6.4 Training records available on site, and refresher training recorded on employees personnel file:					
5.6.5 Further Training Indicated:					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
6.OPERATIONS					
6.1Security					
6.1.1 Procedures in place to ensure security of property and information:					
6.1.2 Data Protection policy meets requirements:					
6.1.3 Procedures in place for client confidentiality:					
6.1.4 Any written permission is retained on file:					

Requirements	Audit Tests/Outcome	CorrectiveAction Required	Timeframefor CorrectiveAction	CorrectiveAction Completed	Date Verified and Meansof Verification
6.1.5 Procedure in respect to holding and surrendering codes in place:					
6.1.6 Appropriate security measures in place for client information:					
6.1.7 Appropriate security measures to prevent unlawful access to servers/terminals :					
6.1.8 Records of visits maintained for minimum period of 3 year. Dispose in a secure & confidential manner					

Requirements	Audit Tests/Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
6.2 Vehicles and Equipment					
6.2.1 Vehicles liveried in accordance with PSA Requirements:					
6.2.2 Driving licenses valid: Copies held on employee file:					
6.2.3 Vehicles and equipment serviced and maintained: Records inspected:					
6.2.4 Equipment signed for: Undertaken to return equipment:					

Requirements	Audit Tests/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>					
<p>7.1.3 Has organisation Provided permission to supply PSA with report:</p>					

Requirements	Audit Tests/Outcome	Corrective Action Required	Timeframe for Corrective Action	Corrective Action Completed	Date Verified and Means of Verification
7.1.4 Has organisation provided all permissions required:					
7.2 PSALicensing Requirements					
7.2.1 Not applicable during audit.					
7.2.2 Confirmation received from organisation:					
7.2.3 Compliant with all relevant legislation :					
7.2.4 Statement on notifying the PSA of certain matters provided: Copy attached to audit report:					