

PSA 28:2013 – Remote Audit Summary Checklist

The following is a **summary** guide to the items which EQA auditors check on a PSA 28:2013 Remote Audit, based on the PSA 28 Remote Auditing Guidelines as issued by the PSA. The guide does not cover all areas of PSA 28:2013.

Please refer to the following document available on the PSA Website www.psa.gov.ie

- PSA Licensing Requirements Security Service Providers (PSA 28: 2013)
- Auditing Guidelines for Remote Audits for PSA Standards (PSA 28:2013)

PRE-AUDIT INFORMATION

The following documents will need to be provided to EQA **no later than 1 week** before the audit:

1. List of employees including date of commencement of employment
2. List of active contracts including commencement date*
3. List of quotations issued in the previous 12 Months *
4. List of vehicles including registration number.

*Reference numbers are acceptable in lieu of client names, auditor will then pick from the list for full review of contracts and quotations to confirm compliance.

STATEMENTS of COMPLIANCE

The following written statements of compliance should be provided to the auditor:

1. Statement of compliance with the Government’s COVID-19 Return to Work Safely protocol
2. Statement on compliance with relevant legislation
3. Statement on compliance with pay and conditions agreements/legislation
4. Statement on compliance in respect of a Dedicated Fixed Location system, where applicable
5. Statement on compliance in respect of a Contracted Facility system, where applicable
6. Statement on compliance with requirements for an escalation policy document and checking and reviewing of incident reports
7. Statement on compliance with Security of Information and Access Media requirements
8. Statement on compliance with Vehicles and Drivers requirements

ORGANISATION

Ownership

- Details of the owners and/or management must be documented, and all individuals having shareholdings or control of more than 5% must be identified (where applicable).
- All directors must be identified with supporting evidence of screening.
- Certificate of Incorporation / Business name as applicable (with copy of original).
- Organisation Chart.
- Where applicable, all principles of the organisation shall sign a declaration setting out their beneficial interests in other organisations subject to licensing by the PSA.

Finance

- Valid Tax Clearance Certificate.
- Details of any loans from the directors or shareholders.
- Cash flow plan for the current accounting period (only on request by the PSA).
- Signed statement in respect of approved signatories for cheques or bank accounts.

For Guidance Purposes Only: Audit will be conducted by reference to PSA 28:2013

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Insurance

- Document evidence that relevant insurance cover is in place.

Premises

- Administrative office with licensed alarm and licensed monitoring system.

Organisation information

- Clear statement of PSA licence number(s) on letterheads, contracts, advertising, etc.
- Minimum provisions within written contracts, as signed by a principal and client
- Where subcontractors are used, evidence from the subcontractor of compliance with the prescribed standard(s), as well as evidence of a PSA license.

Quotations

- Evidence of written quotations to prospective clients.

Compliance with Legislation and PSA Licensing

STAFFING

The following documents should be made available to the auditor, upon request:

- A current employee list showing the name, PSA licence number, sector of employment (Security Guarding, Door Supervision, or both), Employment Status (Full or Part Time), date of birth, date of commencement and immigration status.
- A current sample Terms of Employment contract and Staff Handbook
- A current sample Code of Conduct document.

The auditor will make reference to these documents while assessing:

- Provisional employment
- Age of persons employed, as well as annual medical examinations for any employers over 65
- Monitoring and supervision during ongoing screening
- Evidence of qualifications and awards
- Work permits, authorisations and permissions
- List of employees, including those employed on a provisional basis
- Terms of Employment
- Employee Code of Conduct.

TRAINING

The following documents should be made available to the auditor, upon request:

- Training Policy
- Site-specific training plans (within the last 12 months)
- Training records
 - Training records must be maintained, signed by the employee and countersigned by the training administrator.

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OPERATIONS

Risk Assessments

- Procedures in accordance with PSA 28 guidelines
- All sites to have evidence of risk assessment surveys to include risks of violence

Command and Control System

- Command and Control Manual should be made available to the auditor, upon request, as evidence of facilities and system.
- The requirements of a Manned Site / Mobile Unit or Looped Check-In Call system should be reflected in the Manual.
- As applicable, written statements of compliance should be provided with respect to a Dedicated Fixed Solution system
- As applicable, written statements of compliance should be provided with respect to a Contracted Facility system

Operations Records

- Reporting procedures should be evidence in the Command and Control Manual
- Sample Incident Reports over an 18-month period should be made available to the auditor, upon request
- Statement on compliance with requirements for an escalation policy document and checking and reviewing of incident reports
- Evidence of check-in calls kept for a minimum of 3 years.

Assignment Instructions

- A “live” sample of Assignment Instructions (i.e. not a blank template) should be made available to the auditor, upon request.

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