International
Code of Conduct
Association

ICoCA Certification Process for "PSC.1" certified companies

APPLICATION FORM & GUIDANCE

Company Name: _____

Primary Point of Contact: _____

Backup Point of Contact: _____

Date Form Completed: _____

This Guidance provides directions and clarifications for companies certified to ANSI/ASIS PSC.1-2012 "Management System for Quality of Private Security Company Operations - Requirements with Guidance" ("PSC.1") applying for ICoCA Certification.

We invite applicants to follow the structure of this document to understand and complete the process to achieve ICoCA Certification.

Part 1 – KEY ELEMENTS
Overview of the ICoCA Certification Process.

The Association processes ICoCA Certification applications in accordance with the principles established in the Articles of Association and the ICoCA Certification Procedure. The following questions and answers will guide you step-by-step through the ICoCA Certification Process:

1. **What is ICoCA Certification?**

   - ICoCA Certification is the procedure used to certify that your systems and policies meet the Code's principles and standards as part of your commitment to operate in accordance with the Code ("ICoC" or "International Code of Conduct").

   - ICoCA Certification requires external certification to one of the **national and international standards** that are recognised by the Board as consistent with the Code: **PSC.1**, but also ISO 18788 and ISO 28007.

   - For each Board-recognised standard, the ICoCA defined **additional information** relative to human rights and humanitarian law which is needed to assess whether your systems and policies meet the requirements of the Code.[1]

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[1] The ICoCA has carried out a comparative analysis of PSC.1 and the ICoC in order to assess of the extent to which certification to PSC.1 covers all the provisions and principles of the Code, and to identify additional information requirements to be requested by the Board. These requests for information cover the existing gap between the Code and PSC.1 and are called "additional information". The results of the comparative analysis are available in the Recognition Statement for PSC.1 and its corresponding annexes A and B.

2. Are you eligible for ICoCA Certification?

In order to apply for ICoCA Certification, Member Companies need to fulfil the following conditions:

- **Be certified to PSC.1.**[2]

- Having obtained the certification from an independent accredited Certification Body (CB).[3]

  - ➢ To ensure that the certification issued is valid, you can either ask the Certification Body about their certificate of accreditation from UKAS or ANAB to PSC.1, or ask the Secretariat for additional information.

  - ➢ There is **no charge for ICoCA Certification** in addition to regular annual Membership dues. However, please keep in mind that Member Companies need to cover their **own costs related to their external certification** to PSC.1 by an accredited independent Certification Body.

3. What information and documentation do you need to submit when applying for ICoCA Certification?

- Please **consult the form** in Part 2 of this document to receive **guidance** on the information and documentation that you must provide to demonstrate that your company meets the requirements of the Code.

  - ➢ The table will help you understand the additional information requirements requested and also provides examples of documentation that your company could potentially provide to satisfy them (the list of examples is non-exhaustive and for illustrative purposes only).

- Afterwards, please **fill in the form,** also in Part 2, to complete your ICoCA Certification application.

  - ➢ The ICoCA Secretariat wants to understand **how your company implements and integrates the principles of the Code into your operations, systems and procedures**.

  - ➢ You do not need to provide many documents, just the ones that reflect how your company implements the specific requirement. It is possible that several requirements will be answered by the same document or policy.

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[2] If you are certified to another Board-recognised standard (ISO 18788 or ISO 28007), please consult and fill the corresponding form which is available on the ICoCA website.

[3] The current list of the independent accredited Certification Bodies that are certifying to Board-recognised standards is available on the ICoCA website (Currently only Intertek and MSS Global issue independent accredited certification to PSC.1).

➢ The ICoCA will analyse the information provided to assess if your systems and policies meet the requirements of the Code and the readiness of your company to fully participate in the activities of the Association.

▪ If your company is externally certified to **more than one** Board-recognised standard (PSC.1, ISO 18788 and/or ISO 28007), you **do not need** to fill in several application forms to apply for ICoCA Certification.

4. How can you submit your ICoCA Certification application?

**Please note that the Secretariat does not send
confidential or sensitive information via email.**

In order to ensure the security of all data submitted to the ICoCA Secretariat, and until a secured online platform is created, the requested information must be sent in paper form and/or copied on to a USB stick/flashdrive or CD ROM, enclosed in a sealed envelope marked "Confidential, Certification Material," and sent via DHL, FedEx, or other courier service to:

ICoCA Secretariat, WMO Building
Case Postale 2300, 7 Bis, avenue de la Paix
CH-1211 Genève 2, Switzerland

**Those sending confidential or sensitive information via email
to the ICoCA Secretariat do so at their own risk.**

5. After submission of the ICoCA Certification application form, what is the review process?

a) Once your completed application is received, the Secretariat will confirm reception;

b) The Secretariat then reviews your application and the documents provided;

c) Once the application has been reviewed, the Secretariat may request further clarification or documentation;

d) Once the Secretariat has determined that the application is complete, their recommendation with a summary of the application (excluding any confidential information) will be shared with the ICoCA Board of Directors;

e) The ICoCA Board of Directors may request further details, and then vote to approve or reject the application for ICoCA Certification.

f) Once the Board has granted your company "ICoCA Certification", you will become an **ICoCA Certified Member**.

➢ Provided that you answer in a timely manner to the request for additional information or clarification, the Secretariat anticipates that the entire process may take up to **one or two months** until a final decision is taken.

Part 2 – APPLICATION FORM
ICoCA Certification application form for "PSC.1" certified companies

	Information requested	Examples of relevant documentation To be provided to cover the requested information. List is **non-exhaustive**, for **illustrative purposes** only.	Specific requirements	Please <u>fill in the requested information</u> in the space below & <u>attach</u> the corresponding documentation
1	• **Company's proof of PSC.1 Certification;** • **including annexes and appendices to the Certificate, if applicable.**	• Provide PSC.1 certificate; • Provide Annexes and Appendices to the Certificate, if applicable.	The scope of ICoCA Certification is based on the **concrete areas** where your company operates, and not on general regions ("*Worldwide*") or wider regions or areas where your company might potentially have operations in the future. ⚠ Please provide the **exact locations** that are included in the scope of your PSC.1 Certification.[4] ⚠ If the company has **subsidiaries**, please **specify whether they are included in the scope** of the PSC.1 certification.	
2	• **Full initial audit report (Stage 1 and Stage 2);** • **Most recent surveillance reports, if applicable - subject to any redactions of particularly sensitive information;** *and* • **Corresponding Corrective Action Plan(s).**	• Provide the initial, and most recent audit reports if applicable; • Provide responses by company and/or the Corrective Action Plan prepared by your company that relate to areas of concern	• The audit report should include all detailed areas of concern and non-conformities identified throughout the process. • Your company must articulate a specific justification for each redaction explaining why the information is particularly sensitive. • The ICoCA attempts to fully understand the steps taken by a company to ensure that areas of concern or non-conformities (which might reflect gaps in compliance with requirements of the ICoC) identified by the CB have been	

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[4] Companies are invited to add areas to the scope of ICoCA Certification at any time, by providing evidence of the appropriate inclusion of those areas into the scope of their external certification to a given Board-recognised standard (i.e. audit reports, annexes to the certificate, certification plans, etc.) to the Secretariat.

	Information requested	Examples of relevant documentation To be provided to cover the requested information. List is **non-exhaustive**, for **illustrative purposes** only.	Specific requirements	Please <u>fill in the requested information</u> in the space below & <u>attach</u> the corresponding documentation
		or non-conformities identified by the Certification Body.	remedied (to the extent such areas of concern or non-conformities reflect topics relevant to the ICoC).	
3	**Company's Human Rights Risk and Impact Assessment (HRRIA) model and/or process.**	Provide your company's written HRRIA model/template/process; or an example of an existing HRRIA for one of the company's operations.	Companies are expected to provide a template, an existing HRRIA process or examples that reflect: • The methodology used by your company when developing the human rights risks assessment process (including personnel involved, operational focus, circumstances and frequency of HRRIA, risk mitigation measures and subsequent revisions, etc.). • The due diligence applied to ensure compliance with the law and the principles contained in the ICoC (which principles and/or rights are assessed?).	
4	**How your company ensures that its subcontractors that provide security functions apply the same (or substantial equivalent) personnel screening and vetting requirements in selecting and vetting their own personnel.**	• Provide, for instance, the policy or model contract your company uses to require subcontractors to carry out vetting and screening in a manner that is consistent with the Code; *and* • An explanation of how your company monitors compliance with this requirement.	A "subcontractor" shall be understood as "any external company that provides security services on behalf of another PSC."	
5	**How your company requires its subcontractors that provide security functions to be bound by the principles of the ICoC.**	• Provide, for instance, the model contract that your company uses to require subcontractors to follow the provisions and	A "subcontractor" shall be understood as "any external company that provides security services on behalf of another PSC."	

	Information requested	**Examples of relevant documentation** To be provided to cover the requested information. List is **non-exhaustive**, for **illustrative purposes** only.	**Specific requirements**	**Please fill in the requested information in the space below & attach the corresponding documentation**
		principles in the Code while operating; *and* • An explanation of how your company monitors compliance with this requirement.		
6	**How your company requests its personnel to authorise access to references and other documentation related to prior employment and background screenings.**	Provide, for instance, one or more of the following: a model application form; an employment contract; the terms and conditions of employment; or other internal policies as part of the vetting procedures.	The document(s) shall reflect how your company, as part of the hiring process, requests the consent of the applicant/employee in order to be able to access references and other documentation relating to prior employment and other available background screenings' content.	
7	**Your company's anti-discrimination policy;** **And, where applicable, any instances (e.g., locations or other settings) where cultural difficulties have resulted in approved deviations.**	Provide, for instance, your company's anti-discrimination policy; or other internal policies which describe your company's anti-discrimination process and/or commitment.	Where applicable, describe situations where cultural or other difficulties lead to approved deviations from the company's anti-discrimination policy.	
8	**How your company conducts personnel competency reviews – in particular how your company assesses the ability of personnel to perform duties in accordance with the ICoC.**	Provide, for instance, one or more of the following: a description of a personnel performance review process; a policy/procedure describing this process; or anonymised forms and checklists filled by interviewers during the process.	The document(s) shall reflect how your company assesses whether its personnel operate in accordance with the principles of the ICoC as part of a performance review.	

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9	**How your company ensures that relevant employment reference materials incorporate the ICoC.**	Provide, for instance, one or more of the following: employment contracts; written job descriptions; terms and conditions of employment; or other reference documents describing the conduct of personnel.	The document(s) shall reflect how your company includes references to the ICoC and its principles into employment materials that are references for personnel on how they are expected to conduct themselves in operations when working for your company.	
10	**How your company provides training to its personnel on the ICoC and its fundamental principles.**	Provide, for instance, one or more of the following: the training policy; a list of training courses and description of the programmes; training and competency registers; training record forms; or training materials (PPT, memos, etc.).	The document(s) shall reflect how your company provides initial and recurrent training to its personnel on the fundamental principles of the ICoC, and as most relevant in the operating context(s).	