



An tÚdarás Slándála Príobháidí
The Private Security Authority

AUDITING GUIDELINES
FOR
CERTIFICATION BODIES
FOR
TEMPORARY LICENCES
(PSA 57:2016)

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1. AUDITING GUIDELINES

The Government of Ireland through the Private Security Services Act, 2004, established the Private Security Authority (PSA) as the national regulatory and licensing body for the private security industry. Amongst the areas regulated by the PSA is the electronic security sector which includes the Access Control, CCTV and Intruder Alarm sub-sectors. The PSA issues Temporary Licences for the purpose of allowing contactors obtain the technical standards required for PSA licensing. Temporary Licences are only available to contractors applying for licences in the CCTV and/or Intruder Alarm sectors.

These guidelines set out the registration and auditing requirements for Temporary Licences to be followed by approved certification bodies. Certification bodies are required to share registration and auditing information on contractors who apply for a PSA licence with the PSA. Certification bodies should ensure that any contracts or other arrangements entered into with contractors provide for the sharing of this information with the PSA.

The guidelines will be reviewed on a regular basis and updated versions will be provided to certification bodies.



2. GENERAL

2.1 PSA Licensing Requirements

The PSA has prescribed PSA 2006:12 and SR 40 as the standards to be obtained by contractors seeking a CCTV licence. EN 50131-1 together with CLC/TS 50131-7 and SR 40 are prescribed as the standards to be obtained by contractors seeking a licence in the Intruder Alarm sectors.

It is an offence under Section 37 of the Private Security Services Act 2004, as amended, to install, maintain, repair or service a CCTV or Intruder Alarm system without a licence. In order to obtain a licence, contractors must obtain compliance with the standards prescribed by the PSA. The PSA issues Temporary Licences to contractors to allow them achieve compliance with the standards.

Contractors seeking a licence from the PSA must comply with the prescribed standards and such requirements relating to Temporary Licences as the PSA may decide. A contractor's compliance shall be assessed against the prescribed standards and PSA requirements by PSA approved certification bodies in accordance with these guidelines.

2.2 Certification Bodies

2.2.1 Certification for licensing purposes will only be accepted from certification bodies approved by the PSA.

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

2.3 Registration

2.3.1 Certification bodies shall advise the PSA of all contractors who apply and/or register for certification for PSA 2006:12 or EN 50131-1.

2.3.2 Certification bodies shall notify the PSA if the certification or application process ceases prior to the issue or during the term of a Temporary Licence.

2.3.3 On registration, certification bodies shall advise contractors of the following PSA requirements on Temporary Licences;

- a) Temporary Licences shall issue for a period of 6 months only.
- b) An audit for certification must take place before the expiry of the Temporary Licence.
- c) A maximum of six installations shall be completed for each sector before the expiry of the Temporary Licence.
- d) All installations installed under the Temporary Licence shall be available for audit by the certification body.
- e) Failure to complete the audit process by the expiry of the Temporary Licence shall result in the application for a licence being refused.
- f) Where an application for a licence is refused there is no refund of the application fee.



2.3.4 Certification Bodies shall ensure that all six installations shall be completed before the expiry of the six month temporary licence in compliance with **2.3.3 c)**.

2.4 Audits

2.4.1 Contractors shall be subject to an audit by an approved certification body within 6 months of the issuing of a Temporary Licence. The purpose of the audit is to verify compliance with the prescribed standards and PSA requirements.

2.4.2 Certification bodies shall ensure that audits take place within the agreed timeframes and ensure that contractors are aware of the requirements to complete the audit process within these timeframes.

2.4.3 An extension to the Temporary Licence shall only be granted where an audit has taken place but certification has not yet issued. Any extension granted shall not exceed three months. Only one extension shall be granted.

2.4.4 The PSA may request certification bodies to focus their audit on certain areas of a contractor's activities. Such requests will be within the terms of the prescribed standards and PSA requirements.

2.4.5 All audits shall involve a visit to the contractor's address as stated on their Temporary 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 contractor. If it is not the registered address, this shall be recorded in the audit report. In such instances the address visited should be the administrative office of the contractor.

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 contractor must provide a statement confirming that the requirements of SR 40 are being met

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

2.4.6 All audits shall involve a site visit to installations installed by the contractor. The client shall provide the certification body with a list of all installations made during the term of the Temporary Licence. The auditor shall select from this list the installations to receive a site visit.

2.4.7 Where a site visit to an installation cannot take place the auditor shall provide the reasons for same in the audit report.

2.4.8 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.



2.4.9 When a contractor 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 certification body shall email the PSA a copy of each new certificate (in PDF format).

2.4.10 When an audit has been carried out the certification body shall notify the PSA of same within 10 days 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 2.4.8 shall be accepted as notification.

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

2.4.12 Where a contractor fails to obtain full compliance or fails to arrange an audit, the certification body shall notify the PSA within 10 days.

2.5 Audit Compliance

2.5.1 Full compliance with the prescribed standards and PSA requirements must be achieved before certification can be issued.

2.5.2 Where a contractor fails to comply with the prescribed standards or PSA requirements, details of all the non-conformances 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 shall 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 shall detail all non-conformances and corrective actions.

2.5.5 An audit may not be passed until all non-conformances have been corrected.

2.6 Audit Non-Conformances

2.6.1 Where a contractor fails to meet any of the requirements of the prescribed standards or PSA requirements this shall be recorded as a non-conformance. Contractors have 5 weeks from date of audit to rectify a non-conformance.

2.6.2 Where the 5 week period referred to in **2.6.1** has elapsed and a contractor has not passed an audit, the certification body shall write to the contractor requiring them to rectify all outstanding matters within 14 days and advising that failure to do so within the 14 day timeframe, will result in their application for certification being refused and the PSA being notified of same.

2.6.3 On receipt of notification that a contractor's certification has been



withdrawn the PSA will commence compliance action against the contractor. This action may result in the application for a licence being refused.

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:

- 1) The name, address and contact details of the certification body,
- 2) The name of the auditor(s) who undertook the audit,
- 3) The date(s) of the audit(s),
- 4) The name, address, contact details and PSA licence number of the contractor,
- 5) A summary of the audit highlighting any non-conformities found.
- 6) Any other information which the auditor/certification body is required to disclose to the PSA or which they wish to bring to the PSA's attention.

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



3 COMPLIANCE WITH PSA LICENSING

3.1 Compliance With Intruder Alarm Standards

3.1.1 Contractors applying for a licence in the Intruder Alarm sector shall obtain certification for EN 50131-1 and CLC/TS 50131-7. The PSA shall advise on the current edition of each standard to be used for certification purposes.

3.1.2 Audits shall comprise of visits to a minimum of 4 alarm installation sites.

3.1.3 The following non-compliances with EN 50131-1 and CLC/TS 50131-7 shall be deemed category 1 non conformances;

- a) Any deviation from the requirements of EN 50131-1 which specifies the performance requirements of the Intruder Alarm System.
- b) No, or incomplete, risk assessment document.
(The format that the risk assessment should take is at the discretion of the CB. However, it shall be consistent with the risk factors identified in **Annexes A, B, and E of CLC/TS 50131-7.**)
- c) No, or incomplete, System Design Proposal.
(A documented system design proposal shall be prepared and submitted to the client. This shall be agreed with the client prior to commencing the installation process. Any deviations from this proposal shall be documented and agreed with the client and recorded in the as fitted document. **Annex F of ICLC/TS 50131-7** sets out items which must be included in the proposal.)
- d) No, or incomplete, As Fitted Document.
(The system design proposal fulfils this requirement in the event that there has been no amendment to the design once agreed with the client)
- e) Non Compliance with National Wiring Rules.
(This relates to National or European safety requirements under **section 6.2 of CLC/TS 50131-7** and is limited in this respect to the applicable aspects of Intruder Alarms Systems and their installation)
- f) No Documentation as set out in **section 11.1 of CLC/TS 50131-7** provided to the client. Provision of this documentation shall be evidenced through
 - (1) Oral confirmation by the client directly to the auditor that the documentation was provided and a record of this to be entered in the report of the auditing body, OR



(2) Where such oral confirmation cannot be obtained by the auditing body, a record of the client's signature confirming that the client has been provided with the documentation set out in **section 11.1 of CLC/TS 50131-7** and a record of this to be entered in the report of the auditing body.

3.2 Compliance With CCTV Standard

3.2.1 Contractors applying for a licence in the CCTV sector shall obtain certification for PSA 2006:12.

3.2.2 Audits shall comprise of visits to a minimum of 4 CCTV installation sites. Where a contractor has applied for a licence in the CCTV and intruder alarm sectors a minimum of 4 intruder alarm and 2 CCTV installation site visits shall take place.

3.2.3 The following non-compliances with PSA 2006:12 shall be deemed category 1 non conformances;

- a) Any deviation from the requirements of PSA 2006:12 which specifies the operational requirements of the CCTV System.
- b) No, or incomplete, risk assessment document.
(The format that the risk assessment should take is at the discretion of the CB.)
- c) No, or incomplete, System Design Proposal.
(A documented system design proposal shall be prepared and submitted to the client. This shall be agreed with the client prior to commencing the installation process. Any deviations from this proposal shall be documented and agreed with the client and recorded in the As Fitted Document. Appendix 3 of PSA 2006:12 sets out items which must be included in the proposal.)
- d) No, or incomplete, As Fitted Document.
(The system design proposal fulfils this requirement in the event that there has been no amendment to the design once agreed with the client)

3.3 Compliance With SR 40 Standard

3.3.1 Contractors applying for a licence in the CCTV and/or Intruder Alarm sector shall obtain certification for SR 40.

3.3.2 The following non-compliances with SR 40 shall be deemed category 1 non conformances;

- a) No relevant insurance cover
(Auditors shall ensure that the details on the Certificate of Insurance are correct and that the requirements of **section 4.2 of SR40** are complied with. All contractors are required to have public



and employers liability insurance. In the event that a contractor indicates and verifies that there are no employees, the contractor shall be exempt from the requirement to have employer liability insurance.

- b) Non-compliance with requirements on premises (**section 4.3**).
- c) Non-compliance with legislation relevant to the contractor's business:
 - Health, Safety & Welfare at Work Act,
 - Organisation of Working Time Act,
 - Private Security Services Act, 2004
 - Taxation and Social Welfare Acts
 - National Wiring Rules

A declaration of compliance with relevant legislation shall be furnished by the contractor. This shall be on the contractor's stationery and signed by a principal of the business.

- d) Non-compliance with screening requirements (**section 5.2**).
- e) Non-compliance with training requirements (**section 6**).

3.4 Compliance With PSA Licensing

3.4.1 Where a contractor completes more than the maximum of six installations permitted under the Temporary Licence the certification body shall record this in the audit report and bring it to the attention of the PSA.

3.4.2 Where a contractor undertakes an installation after the expiry of the Temporary Licence the certification body shall record this in the audit report and bring to the attention of the PSA.

3.4.3 The auditor shall inspect each System Design Proposal completed during the term of the Temporary Licence and confirm:

- a) That a System Design Proposal has been completed for all installations completed during the term of the Temporary Licence.
- b) That the System Design Proposal meets the requirements of the relevant standard.
- c) That the System Design Proposal has been agreed with the client prior to the installation commencing.
- d) That where deviations to the System Design Proposal have taken place, these have been documented, agreed with the client and recorded in the As Fitted Document.

Annex A – Format of Temporary Licence Audit Report

1. Audit Information			
Name of Certification Body			
Address			
Phone No		Email Address	
Name of Auditor(s)			Date of Audit
			Audit Duration (in hours)
Name of Contractor		Date of Registration	
Address On PSA Licence			
Address Visited For Audit (if different from address above)			
Phone No		Email Address	
Contact Person		PSA Licence No.	
Sectors For Which Certification Is Required		Date PSA notified of registration	
Number of Category 1 Non-Conformances		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							
2.1 Standards Audited (Tick Box)	PSA 2006-12		EN 50131-1		CLC/TS 50131-7		SR 40
2.2 Where the PSA has requested that an audit focus on certain areas of a contractors activities a brief report in addition to the specific standards requirements shall be provided. This report may include the auditor's observations, contractors response to audit or any other matter which the auditor wishes to bring to the attention of the PSA.							

<p>3.4 Compliance with PSA Licensing</p>	
<p>3.4.1 Has the contractor completed more than the 6 installations permitted under the Temporary Licence.</p> <p>If yes, please provide details of the client and location of the installation(s)</p>	
<p>3.4.2 Has the contractor completed any installations after the expiry of the Temporary Licence.</p> <p>If yes, please provide details of the client and location of the installation(s).</p>	

3.4.3 For each installation completed has the following requirement been met?

Contractor completed a System Design Proposal for each installation.

Each System Design Proposal meets the requirements of the relevant standard.

Each client agreed the System Design Proposal before installation.

Where applicable, the requirements on deviations and As Fitted Documents were met.

Audit Reports for the standards audited to be attached



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