

## ICoCA Certification Process for “PSC.1” certified companies

### APPLICATION FORM & GUIDANCE

This document provides directions and clarifications for ANSI/ASIS PSC.1-2012 (“PSC.1”) certified companies in applying for ICoCA Certification.

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

\* \* \*

Company Name: \_\_\_\_\_

Primary Point of Contact: \_\_\_\_\_

Backup Point of Contact: \_\_\_\_\_

Date Form Completed: \_\_\_\_\_

#### **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.**

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#### **Table of contents:**

- Part 1 – KEY ELEMENTS. Overview of the ICoCA Certification Process.
- Part 2 – APPLICATION FORM. ICoCA Certification for “PSC.1” certified companies
- Part 3 – GUIDANCE. Additional Information: why this information and what will the ICoCA do with it?

## Part 1 – KEY ELEMENTS

### Overview of the ICoCA Certification Process.

The ICoCA carries out the Certification Process in accordance with the principles established in the Articles of Association.<sup>1</sup> Key elements include:

1. The ICoCA Certification process is the procedure used to certify that the Company's systems and policies meet the Code's principles and standards as part of their commitment to operate in accordance with the Code.
2. ICoCA Certification is based on existing national or international standards and processes that are recognised by the ICoCA Board as consistent with the Code (such as PSC.1), as well as additional information required to meet the principles and standards contained in the Code.
3. As detailed in the [Recognition Statement for PSC.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.<sup>2</sup>
4. The Additional Information Requirements are summarised in table form in Part 3 of this guidance document, along with non-exhaustive, illustrative examples of potential ways companies might satisfy those additional information requirements.
5. The ICoCA will analyse submissions for ICoCA certification following the process described in the the Certification Procedure.<sup>3</sup> The information submitted by the Company will only be accessed by the ICoCA Secretariat, in accordance with its strict confidentiality and information security policy. The ICoCA Board will not be provided access to confidential information, but will rather receive a summary of the review prepared by the Secretariat.
6. In the event the ICoCA Board requests access to a concrete piece of the information submitted by an applicant Company, rather than the summary prepared by the Secretariat, the ICoCA Secretariat will seek permission from the Company before disclosing any confidential information.

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<sup>1</sup> For a complete understanding of the Certification Process, see ICoCA Certification Principles and Procedure, available at <http://icoca.ch/sites/default/files/resources/Final%20Draft%20ICoCA%20Certification%20Procedure.pdf>  
See also Article 11 of the ICoCA Articles of Association, available at [http://icoca.ch/en/articles\\_of\\_association#article-11-certification](http://icoca.ch/en/articles_of_association#article-11-certification)

<sup>2</sup> The "Analysis of ANSI/ASIS PSC.1-2012 against the ICoCA Certification Assessment Framework" sets out the ICoCA Board of Directors' analysis of PSC.1 against the ICoCA Certification Assessment Framework. This analysis has informed the Board's view on the extent to which PSC.1 is consistent with the Code. It has further been used to help identify what additional information the Board will require from a company certified to PSC.1 by a properly accredited certification body, in order for that company to be certified by the ICoCA.

<sup>3</sup> For an overview of the process, see ICoCA Certification Principles and Procedure, available at <http://icoca.ch/sites/default/files/resources/Final%20Draft%20ICoCA%20Certification%20Procedure.pdf>

## Part 2 – APPLICATION FORM

### ICoCA Certification for “PSC.1” certified companies

As a result of the [gap analysis between PSC.1](#) and the Code, the ICoCA has determined the additional information requirements that are necessary to ensure that the Company's systems and policies meet the requirements of the Code (See [Recognition Statement for PSC.1 - Annex B: Additional Information Requirement for PSC.1](#)).

- Please fill in **Table 1** below with the requested additional information.
- Please consult **Table 2** in Part 3 to understand which information is requested, including specific requirements, examples of documentation to be provided by the company (list is non-exhaustive and for illustrative purposes only), the reasons behind each request for additional information and what the ICoCA is going to do with it.

**Table 1 – Please fill with the requested information**

	Information Requested	Documents attached to cover the information requested	Additional Information
1	Company's ANSI/ASIS PSC.1-2012 Certification.		
2	Annexes and Appendices to the Certificate.		
3	Full audit report, and most recent surveillance reports if applicable, subject to any redactions of particularly sensitive information.		
4	Corrective Action Plan. Responses by the Company to the non-conformity/ies and any associated observation/approval/acceptance from the Certification Body.		

	<b>Information Requested</b>	<b>Documents attached to cover the information requested</b>	<b>Additional Information</b>
5	<b>Company's Human Rights Risk and Impact Assessment (HRRIA) model and/or process.</b>		
6	<b>The manner in which the Company requires its subcontractors that provide security functions to apply your personnel screening and vetting requirements (or the substantial equivalent) in selecting and vetting their own personnel.</b>		
7	<b>The manner in which the Company requires its subcontractors that provide security functions to be bound by the Code.</b>		
8	<b>The manner in which the Company requires its personnel to authorise access to references in relation to prior employment and available background screening in furtherance of vetting procedures.</b>		
9	<b>The Company's anti-discrimination policy and any instances (e.g., locations or other settings) where cultural difficulties have resulted in approved deviations.</b>		

	<b>Information Requested</b>	<b>Documents attached to cover the information requested</b>	<b>Additional Information</b>
<b>10</b>	<b>The manner in which the Company conducts personnel competency reviews, particularly with regard to assessment of the ability of personnel to perform duties in accordance with the Code.</b>		
<b>11</b>	<b>The manner in which the Company incorporates the Code into its personnel reference materials (such as employment contracts, written job descriptions or terms and conditions of employment).</b>		
<b>12</b>	<b>The manner in which the Company provides training to the Company's personnel on the Code.</b>		

## Part 3 – GUIDANCE

### Additional Information: why is this information required and what will the ICoCA do with it?

**Table 2 – For reference**

<b>Table 2 – For reference</b>				
	<b>Information requested</b>	<b>Specific requirements</b>	<b>Examples</b> The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	<b>Why &amp; What will the ICoCA do with this information?</b>
<b>1</b>	<b>Company's ANSI/ASIS PSC.1-2012 Certification.</b>	-	<ul style="list-style-type: none"> <li>• Provide PSC.1 certificate.</li> </ul>	The ICoCA needs this information to confirm that the Company has been third-party certified by a Certifying Body (CB) accredited by a national accreditation body that is itself a member of the International Accreditation Forum (IAF) and its Multilateral Agreement (MLA).
<b>2</b>	<b>Annexes and Appendices to the Certificate.</b>	-	<ul style="list-style-type: none"> <li>• Provide Annexes and Appendices to the Certificate.</li> </ul>	The ICoCA will analyse the information to understand the scope of certification and other information highlighted by the CB and to get a comprehensive understanding of the Company's systems and policies in relation to the Code.

	<b>Information requested</b>	<b>Specific requirements</b>	<b>Examples</b> The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	<b>Why &amp; What will the ICoCA do with this information?</b>
<b>3</b>	<b>Full audit report, and most recent surveillance reports if applicable, subject to any redactions of particularly sensitive information.</b>	<p>The audit report should include all detailed areas of concern and non-conformities detected throughout the process. Your company must articulate a specific justification for each redaction explaining why the information is particularly sensitive.</p> <p>The Association will require the full audit report, and most recent surveillance reports if applicable, for an interim period as it assesses what additional information it needs for a determination of compliance with the Code.</p>	-	The ICoCA will use this information, along with that provided in item 4 below, to understand the extent to which the Company has taken steps to fully implement the Code.
<b>4</b>	<b>Corrective Action Plan.</b>	<p>In case areas of concern are resolved through other communication channels (for example through meetings, emails, phone conversations etc.), please provide an explanation or other details.</p> <p>Where applicable, also include any responses from the Certification Body commenting on the adequacy of the Corrective Action Plan (to the extent the issues addressed relate to requirements in the Code).</p>	<ul style="list-style-type: none"> <li>Provide responses by company and/or the Corrective Action Plan prepared by the Company that relate to areas of concern or non-conformities identified by the Certification Body.</li> </ul>	<p>The ICoCA will use this information to ensure that the final PSC.1 certification, coupled with additional information provided, ensures that the company's systems and policies meet the Code's principles and the standards derived from the Code.</p> <p>The ICoCA attempts to fully understand the steps taken by a Company to ensure that areas of concern or non-conformities identified by the CB have been remedied (to the extent such areas of concern or non-conformities reflect gaps in compliance with the requirements of the Code).</p>

	<b>Information requested</b>	<b>Specific requirements</b>	<b>Examples</b> The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	<b>Why &amp; What will the ICoCA do with this information?</b>
5	<b>Company's Human Rights Risk and Impact Assessment (HRRIA) model and/or process.</b>	-	<ul style="list-style-type: none"> <li>Provide the company's written HRRIA model/process.</li> </ul>	<p>The ICoCA needs this information to be able to assess whether the company has established and maintains a human rights risk assessment methodology in place as a necessary condition to be able to deter, monitor, report, and effectively address adverse impacts to human rights; and to exercise due diligence to ensure compliance with the law and the principles contained in the Code <a href="#">paragraphs 6(d)</a> and <a href="#">21</a>, and Article 11.2.1 of the Articles of Association.</p> <p>The ICoCA will analyse and evaluate the Company's HRRIA.</p>
6	<b>The manner in which the Company requires its subcontractors that provide security functions to apply the Company's personnel screening and vetting requirements (or the substantial equivalent) in selecting and vetting their own personnel.</b>	-	<ul style="list-style-type: none"> <li>Provide, for instance, the policy or model contract the Company uses to require subcontractors to carry out vetting and screening in a manner that is consistent with the Code and the Company's own policies, along with an explanation of how the Company monitors compliance with this requirement.</li> </ul>	<p>The ICoCA has carried out a comparative analysis between PSC.1 and the Code. These requests for information cover the existing gap between the Code and PSC.1.</p> <p>The ICoCA will analyse the information provided to assess if the Company's systems and policies meet the requirements of the Code and its readiness to participate in the Association.</p>
7	<b>The manner in which the Company requires its subcontractors that provide security functions to be bound by the Code.</b>	-	<ul style="list-style-type: none"> <li>Provide, for instance, the model contract that the Company uses to require subcontractors to follow the provisions and principles in the Code while operating, along with an explanation of how the Company monitors compliance with this requirement.</li> </ul>	

	<b>Information requested</b>	<b>Specific requirements</b>	<b>Examples</b> The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	<b>Why &amp; What will the ICoCA do with this information?</b>
8	<b>The manner in which the Company requires its personnel to authorise access to references in relation to prior employment and available background screening in furtherance of vetting procedures.</b>	-	<ul style="list-style-type: none"> <li>Provide, for instance, the model application form or employment contract form whereby the Company requests authorisation from the applicant/employee to allow the Company to access references in relation to prior employment and available background screening as part of the vetting procedures.</li> </ul>	
9	<b>The Company's anti-discrimination policy and any instances (e.g., locations or other settings) where cultural difficulties have resulted in approved deviations.</b>	-	<ul style="list-style-type: none"> <li>Provide, for instance, the Company's anti-discrimination policy and, where applicable, describe situations where cultural or other difficulties lead to approved deviations.</li> </ul>	
10	<b>The manner in which the Company conducts personnel competency reviews, particularly with regard to assessment of the ability of personnel to perform duties in accordance with the Code.</b>	-	<ul style="list-style-type: none"> <li>Provide, for instance, a policy, or a description of a personnel competency review; provide forms and checklists filled by interviewers, procedures for the conduct of competency reviews.</li> </ul>	
11	<b>The manner in which the Company incorporates the Code into its personnel reference materials.</b>	-	<ul style="list-style-type: none"> <li>Provide, for instance, employment contracts, written job descriptions, or terms and conditions of employment.</li> </ul>	

	<b>Information requested</b>	<b>Specific requirements</b>	<b>Examples</b> The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	<b>Why &amp; What will the ICoCA do with this information?</b>
12	<b>The manner in which the Company provides training to the Company's personnel on the Code.</b>	-	<ul style="list-style-type: none"> <li>Provide, for instance, a list of training courses and description of the courses, timelines and procedures, training and competency register, training records form, which indicates that the Company provides training to personnel on the Code and its fundamental principles.</li> </ul>	