

Certification Additional Information Requirement for PSC.1

1. Provide your current, extant certificate to the Board-recognised standard and details of any conditions or reservations applied to the certification.

Why?

The Association needs this information to confirm that you have been certified to a Board recognised standard, and that such certification has been conducted by a Certifying Body (CB) accredited by a national accreditation body that is itself a member of the IAF and MLA.

What will the ICoCA do with this information?

The Association will confirm that the CB who conducted the certification is an independent, 3rd party certification body that is accredited by a national accreditation service which is a member of the International Accreditation Forum (IAF) and its Multilateral Agreement (MLA).

2. Provide the full audit report, and most recent surveillance reports if applicable, subject to any redactions of particularly sensitive information. The audit report should include all detailed areas for 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.

Why?

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 to determine compliance with the Code.

3. Provide your Corrective Action Plan.

Why?

The Association needs this information to be able to understand how the company is proposing to rectify any non-conformities to the Code and within what timeline. The Association may engage with the company to assist in improving the Corrective Action Plan in a means consistent with the Code and in its implementation.

4. Provide your Human Rights Risk and Impact Assessment (HRRIA) model and/or process.

Why?

The Association needs this information to be able to assess whether the company has complied with the requirements of ICoC paragraphs 6(d) (which requires that a company deter, monitor, report, and effectively address adverse impacts to human rights) and 21 (which requires that a company exercise due diligence to ensure compliance with the law and the principles contained in the Code).

What will the ICoCA do with this information?

The Association will review Member companies' Human Rights Risk and Impact Assessment processes in order to ensure that the essential elements of the Code are incorporated, and that the results of the process inform relevant systems, processes, and operations. In an effort to guide that

Annex B

inquiry, the ICoCA has developed the attached matrix, which includes the essential elements and attributes that the Secretariat will look for in reviewing HRRIA processes. These attributes were developed in consultation with existing HRRIA processes (including those in use within the PSC industry) and further utilizing expertise and experience within the Board.¹ Members should note, however, that the matrix is not intended to prescribe any particular format for company HRRIAs. Indeed, the Association is aware that company HRRIAs will differ, and are intended to reflect and work within existing company management structures and systems. The attached matrix, therefore, should be used as a guide to the substantive content that should be addressed within an HRRIA process, and as an indicator of the key attributes and issues that the Secretariat will look for when it reviews and assesses HRRIA processes. It is likely that this matrix and the Association's guidance for HRRIA content will evolve as the industry gains experience in developing and working with HRRIA processes.

5. Describe, or provide appropriate documents or records to reflect, the following:

(a) the manner in which you require subcontractors engaged by you to provide security functions to be bound by the ICoC;

(b) the manner in which you require subcontractors engaged by you to provide security functions to apply your personnel screening and vetting requirements (or the substantial equivalent thereof) in selecting and vetting their own personnel;

(c) the manner in which you require personnel to authorize your access to references in relation to prior employment and available background screening in furtherance of vetting procedures;

(d) your anti-discrimination policy and any instances (e.g., locations or other settings) where cultural difficulties have resulted in approved deviations;

(e) the manner in which you conduct competency reviews, particularly with regard to assessment of the ability of personnel to perform duties in accordance with the ICoC;

(f) the manner in which you incorporate the ICoC into your personnel reference materials (such as employment contracts, written job descriptions or terms and conditions of employment); and

(g) the manner in which you provide training to personnel on the ICoC.

Why?

In determining that PSC1 meets the requirements of Article 11 of the Articles of Association, the ICoCA carried out an evaluation of the Standard designed to identify any concerns regarding recognition of the standard, any clarifications needed regarding ambiguities in the language of the standard, and any inconsistencies between the standard and Certification framework. Based on this evaluation, the Association identified the these questions designed to obtain additional information relevant to the human rights and humanitarian impact of operations that is, consistent with Article 11 of the Articles of Association, necessary for assessing whether a company's systems and policies meet the requirements of the Code and its readiness to participate in the Association.

¹ The requirement for a HRRIA is found in paragraphs 6(d) and 21 ICoC; the specific HRRIA content is required by the Board in accordance with Article 11.2.1 of the AoA.

Annex B

In order to be certified by the ICoCA, companies must have a written risk assessment process that includes the following human rights-specific components, as specified in the ICoC for the PSC industry. The ICoCA will use this and other provisions of the ICoC to evaluate HRRIs. It can therefore serve as a useful checklist to see which items, at a minimum, need to be considered within a HRRiA to be compliant with the ICoC. This list is not exhaustive. The human rights considerations below should be integrated in the company's larger business HRRiA.

	Yes	No	Reference in company policy	Reference in ICoC or other guidance
1. Process questions:				
1.1. Frequency of HRRiA				
HRRiA is conducted anytime the company does an overall enterprise risk assessment?				
HRRiA is conducted each time the company takes on a new contract or project, or enters into a new operational environment?				
1.2. Involvement by relevant internal and external stakeholders:				
Senior operational managers are involved in the HRRiA, consistent with the operational level of the assessment?				
Relevant specialist personnel, such as HSE, HR, legal/compliance, procurement, etc... are involved in the HRRiA?				
External advisers are involved in HRRiA?				
External stakeholders are involved in HRRiA?				
Where security tasks are subcontracted, is subcontractor management consulted or involved in HRRiA?				
HRRiA process involves checking whether all necessary personnel and inputs are involved?				
1.3. Follow-up after HRRiA				
Results of HRRiA are considered in company determinations on entering into new contract or operating environment?				
Results of HRRiA inform operations, training, and HR/recruiting?				
2. Substantive questions relating to internal controls and policies				
2.1. Use of Force				
HRRiA evaluates the risks related to the escalation of force and the excessive use of force in the context of operations?				29
HRRiA evaluates the risk that Rules for the Use of Force do not comply with applicable law, ICoC commitments, and client requirements?				29
HRRiA evaluates the risk that the Rules for the Use of Force are not adequately understood by all personnel (company and subcontractors)?				30
HRRiA considers the risk of use of force or firearms by personnel beyond self-defense or defense of others?				31
2.2. Apprehension and Detention				
HRRiA evaluates the risk of employees needing to detain persons?				33
HRRiA evaluates the risk of employees needing to apprehend persons?				34
If operations include guarding, transporting or questioning detainees as contracted for by a State, HRRiA considers the risks of abusive practices in violation of applicable national and international laws?				33
2.3. Identification & Registration				
HRRiA evaluates potential that operations will take place without proper identification and/or registration of personnel and equipment, and considers potential resulting negative impacts?				43

Annex B

2.4. Weapons				
HRRRA considers risks associated with the presence of illicit weapons around your operations?				56, 57, 58
HRRRA considers risks of personnel using or storing weapons or ammunition in a manner not compliant with international principles?				59
2.5. Personnel Suitability				
HRRRA evaluates potential that inappropriately-screened and trained personnel will have access to weapons or other means of deadly force?				45-49
2.6. Grievance Mechanisms				
HRRRA evaluates potential that grievance mechanism will not function in an accessible, fair, transparent manner?				67
3. Substantive Questions relating to prohibitions contained in ICoC				
3.1. Torture and CIDTP				
HRRRA considers the risk that personnel will engage in torture and other cruel, inhumane, or degrading treatment or punishment and evaluates the adequacy of company's measures to prevent involvement of personnel, under any circumstances, in such situations?				35, 36
HRRRA considers the risk that personnel will witness or otherwise become aware of torture and other cruel, inhumane, or degrading treatment or punishment, but fail to report it?				37
3.2. Sexual Exploitation and Gender-based Violence				
HRRRA considers risks associated with the presence of sexual exploitation and gender-based violence in the operating environment and evaluates the adequacy of measures to prevent the involvement by personnel in such situations?				38
HRRRA considers				
3.3. Human Trafficking				
HRRRA considers whether there is a risk of recruiting any personnel victims of human trafficking and evaluates the adequacy of measures to prevent the involvement by personnel in such situations??				39
HRRRA considers risks related to human trafficking in the operating environment?				39
3.4. Prohibition of Slavery and Forced Labour				
HRRRA evaluates the risk of existence of slavery or forced labour in the context of your operations and the adequacy of measures to prevent recruiting any personnel which is victim of forced labour?				40
3.5. Child Labour				
HRRRA considers the risk of engagement of the company in child labour?				41
HRRRA considers the adequacy of measures to prevent personnel, under any circumstances, from involvement in incidents of child labour, prostitution, or other illicit activities?				
HRRRA considers the risk that personnel will witness or otherwise become aware of incidents of child labour, prostitution, or other illicit activities, but fail to report on it?				41
3.6. Discrimination				
HRRRA evaluates the risk of discrimination playing a role in influencing recruitment or other aspects of your operational environment, and evaluates the adequacy of measures to prevent the involvement by personnel in such practices?				42