

Executive Summary

ANSI/ASIS PSC series

Private Security Service Provider Standards



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Introduction

ANSI/ASIS PSC.1-2012 Management System for Quality of Private Security Operations – Requirements with Guidance has been designated as an American National Standard by the American National Standards Institute (ANSI). It is the core standard in the PSC series, which are the first set of standards to address business and risk management of private security service providers operating in regions of high risk.

Private Security Service Providers including Private Security Companies (collectively “PSCs”) play an ever expanding role in protecting both state and non-state entities. They are actively involved in relief, recovery, reconstructions efforts, business operations, and military activity. Much of this work is done in States where the rule of law has been weakened or undermined by human or natural causes. The PSC series of standards provides requirements and guidance for a business and risk management system for quality of services with respect for human rights and legal obligations while operating in high risk regions.

The purpose of these standards is to improve and demonstrate consistent and predictable quality of services provided by PSCs while maintaining the safety and security of their operations and clients within a framework that aims to ensure respect for human rights, national and international laws, and fundamental freedoms. These standards build on the principles found in existing international human rights law and international humanitarian law. They provide auditable criteria for PSCs, and their clients, to demonstrate accountability that human rights and fundamental freedoms are adhered to, and untoward, illegal, and excessive acts prevented.

Standards in the Series

The ANSI/ASIS PSC.1-2012 is the core document of the series, providing requirements and guidance for a management system with auditable criteria for Quality of Private Security Company Operations based on the Plan-Do-Check-Act model for third-party certification of private security service providers working for any client. It builds on the *Montreux Document and the International Code of Conduct for Private Security Service Providers (ICoC)*.

The second standard in the series, ANSI/ASIS PSC.2-2012 provides requirements and guidance for conducting conformity assessments of ANSI/ASIS PSC.1-2012. This standard provides requirements for bodies offering auditing and third party certification of the PSCs. It also provides requirements and guidance on the management of audit programs, conduct of internal and external audits of the management system and PSC operations, as well as on competence and evaluation of auditors.

The third standard in the series, ANSI/ASIS PSC.3-2013 provides a maturity model for the phased implementation of ANSI/ASIS PSC.1-2012. It is designed to help an organization phase in and comply with the standard, with a focus on respecting human rights. The standard provides a basis for managing risk while reducing cost, demonstrating legal compliance, enhancing stakeholder relations, and meeting client expectations.

The final standard in the series, ANSI/ASIS PSC.4-2013 provides guidance for the implementation of ANSI/ASIS PSC.1-2012 for Private Maritime Security Companies (PMSCs). This standard enables organizations operating at sea to implement the auditable requirements of ANSI/ASIS PSC.1/2012 and/or ISO 9001 or ISO 28000 based on the Plan-Do-Check-Act model for third party certification of PMSCs working for any client.

Together this series of standards addresses business and risk management as well as the respecting of human rights and legal obligations for private security companies, operating in areas of weakened governance, and at sea.

General Principles

The PSC series provides the principles and requirements for a Quality Assurance Management System (QAMS) for PSCs. The goal of the QAMS is to assure a high quality of security services while protecting human rights and fundamental freedoms in circumstances where the rule of law has been weakened due to human or natural events while allowing for the PSCs to achieve their objectives, and that of their clients. A QAMS will promote a culture in the organization that bonds quality of service with respect for international law, local laws, and human rights.

These standards offer several general principles to aid top management in developing, deploying, and improving a quality of security service management system. The principles include, but are not limited to:

- Leadership and vision: Top management sets the tone for an organization. Top management must demonstrate a commitment to promoting a culture that takes pride in quality work while respecting international laws, local laws, and human rights.
- Adaptability and flexibility: PSCs often operate where the internal and external environments can change suddenly. Organizations need to monitor these changes and adapt, implementing change control strategies.
- Continual improvement: Monitoring, measurement, review, and improvements are of utmost importance. Formal, documented reviews must be conducted regularly. Top management should then take appropriate action when necessary to improve their QAMS.

Framework

The design and implementation of a management system framework is based on understanding the organization and its internal and external context of operations. This must be taken into account when establishing, implementing, and maintaining the organization's QAMS, including its supply chain and subcontractors.

The internal context is the management and operational environment within an organization including an organization's strategies, policies, objectives, organizational culture and values. Resources and assets are also part of the internal context.

The external context includes stakeholder needs, the outside socio-political environment, contractual agreements, laws, and regulations. It also includes infrastructure dependencies and operational interdependencies as well as the interests of external stakeholders, such as local communities, in the areas of operations. The organization must ensure that the objectives and concerns of the external stakeholders are considered when developing quality assurance and risk management criteria. The framework must include the supply chain and the use of subcontractors.

Organizations must identify the potential risks involved in using subcontractors. Additionally, the needs and requirements of a client should be identified, evaluated, and met. This process involves identifying the specific requirements of the client, evaluating laws and regulations applicable to the service, examining the needs of the local community and other stakeholders, and determining the risk management requirements.

Leadership

The success of a QAMS is highly dependent on the commitment level of an organization's top management. Top management can demonstrate this commitment by fully designing and implementing the management system. Top management should strive to make the QAMS part of the overall organizational culture.

A Statement of Conformance that includes a commitment to abide by the International Code of Conduct for Private Security Providers, the Montreux Document, and all applicable human rights and customary laws should be communicated to and confirmed by all employees and subcontractors.

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Planning

PSCs operate in inherently dangerous and high risk environments. They must manage risk to the client while also managing risk to the organization and impacted communities. A risk assessment provides an understanding of risks, their causes, likelihoods and consequences, and provides the basis for minimizing and mitigating risks to both internal and external stakeholders.

PSCs and their clients have a legal and ethical obligation to follow all applicable international humanitarian, human rights, and customary law and agreements. It is incumbent on an organization to identify the relevant laws and determine how the requirements apply to their operations. These laws and their importance must be stressed to all employees and subcontractors involved in operations.

Objectives should be established and documented. They should include internal and external expectations for the organization and its contractors and supply chain. The objectives should be derived from, and remain consistent with, the quality assurance management policy, the risk assessment, and respect for international law, local law, and human rights. Organizations should establish quality assurance programs for achieving its objectives and risk treatment goals.

Operation and Implementation

Organizations should identify activities that are associated with the identified significant risks and consistent with its quality assurance management policy, risk assessment, objectives, and targets, in order to ensure that they are carried out under specified conditions.

Organizations should establish, implement, and maintain a Code of Ethics for all employees, subcontractors, and partners working on their behalf. The Code should clearly communicate respect for human rights as a top priority.

The PSC series of standards also address many areas requiring the development of policies and regulations by organizations. These include, but are not limited to: personnel including the use of uniforms and markings; selection, background screening, and vetting of personnel and subcontractors; financial and administrative procedures: procurement and management of weapons; training; communication including operational communications, risk communications, and setting a whistleblower policy.

The PSC series of standards also provide guidance in dealing with several areas that should be addressed in order to prevent and manage undesirable or disruptive events. These include: Rules for use of force and use of force training; occupational health and safety; performance of security functions; incident management, monitoring, reporting, and investigations; complaint and grievance procedures.

Performance Evaluation and Improvement

Organizations should evaluate quality assurance management plans, procedures, and capabilities through periodic assessments, testing, post-incident reports, lessons learned, performance evaluations, and exercises. Management should review an organization's QAMS at planned intervals to ensure its continued suitability. The review examines opportunities for improvement and areas needing change. Top management should ensure that improvements are implemented after carefully considering associated risks. Identifying and implementing opportunities for improvement drives the continual improvement process.

About ASIS International

ASIS International is the preeminent organization for security professionals, with more than 38,000 members worldwide. Founded in 1955, ASIS is dedicated to increasing the effectiveness and productivity of security professionals by developing educational programs and materials that address broad security interests, such as the ASIS Annual Seminar and Exhibits, as well as specific security topics. ASIS also advocates the role and value of the security management profession to business, the media, government entities and the public. By providing members and the security community with access to a full range of programs and services, and by publishing the industry's number one magazine—*Security Management*—ASIS leads the way for advanced and improved security performance. Learn more at www.asisonline.org.