THE INTERNATIONAL CODE OF CONDUCT ASSOCIATION (ICoCA)

Core documents
Frequently Asked Questions
Membership Requirements
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This booklet was developed with the support of the Geneva Centre for the Democratic Control of Armed Forces (DCAF; www.dcaf.ch).

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ICoC Association, August 2014.
THE INTERNATIONAL CODE OF CONDUCT FOR PRIVATE SECURITY SERVICE PROVIDERS’ ASSOCIATION (ICoCA)

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FOREWORD

By Rémy Friedmann, Chair of the ICoC Association’s Board of Directors

The recent decade has seen an unprecedented rise in the provision of private security services, be it in providing security for private property or persons in most countries of the world, in supporting State armed forces in armed conflicts, or in protecting vessels against piracy attacks. Especially in environments where the rule of law has been undermined, private security companies are playing an important role in offering security services to a broad range of clients, such as states, humanitarian organizations and extractive companies. The increased use of private actors to provide security and military services poses significant challenges. When providing such services private security companies can also negatively impact the human rights of persons affected by their operations.

As part of its policy to promote respect for human rights and international humanitarian law, the Swiss government has supported initiatives that aim at clarifying international standards and improving oversight and accountability for the industry.
In 2005, Switzerland launched an initiative to promote compliance by private security companies with human rights and international humanitarian law. The first result of this initiative was the adoption of the ‘Montreux Document’ in 2008. Switzerland also supported the transparent and inclusive multi-stakeholder process that led to the adoption of the ‘International Code of Conduct for Private Security Service Providers (the ICoC) in 2010, and to the ‘Articles of Association’ for the International Code of Conduct for Private Security Service Providers’ Association in 2013. While the Montreux Document reaffirms States’ obligations related to private military and security companies operating in armed conflicts, the ICoC provides concrete human rights and international humanitarian law based principles as well as management requirements that private security companies should comply with.

Importantly, the multi-stakeholder process that developed the ICoC also established a governance and oversight mechanism – the ICoC Association – through which governments, private security companies, and civil society organizations will ensure effective implementation of the Code and responsible provision of security services in complex environments. The Association is led by a multi-stakeholder Board of Directors with equal representation by the three stakeholder communities.

In order to succeed, this Association relies on the combined effort of all members and supporters. The Association aims to establish and implement sound procedures to fulfil and support its core functions of certification, monitoring, and handling of complaints. A major role in this regulatory process, however, must also be played by State and non-State clients of private security companies. The ICoC and its Association will be most effective if private security companies’ clients include Association certification and compliance with the Code as a requirement in their contracting policies.

Having been involved in this initiative for the past years and serving as chair of the ICoC Association’s Board of Directors, I know the manifold challenges involved in successfully setting up a multi-stakeholder initiative. At the same time, I am convinced that
public-private partnerships such as the ICoC process can effectively complement States’ efforts to regulate truly globalized issues like the provision of private security services. I hope this brochure will assist the Association and its partners to reach out to governments, private security companies, civil society organizations as well as private security company clients in all regions of the world and to contribute to gathering support for this important initiative.
INTRODUCTION

By Andrew Orsmond, Executive Director of the ICoC Association

As the governance and accountability mechanism for the International Code of Conduct for Private Security Service Providers (the “Code”), the ICoC Association (the “ICoCA”) aims not only to oversee the implementation of the Code but also to promote the responsible provision of security services and raise industry standards across the globe. Reflecting on the process leading to the creation of the Code, the ICoCA is a multi-stakeholder organization that ensures that the perspectives of the private security industry, civil society, governments, and other stakeholders (including private security clients) are all included in the development of responsive, effective, and efficient governance processes and procedures.

Drawing from the ICoC and its Articles of Association, the ICoCA’s core functions are:

- Certification of member companies’ systems and policies, ensuring that they meet the Code’s principles and the standards derived from the Code;

- Monitoring of member companies’ operations, through established human rights methodologies both remotely and in the field, in order to ensure that those operations comply with the Code; and
• Managing an accessible, fair, and effective complaints process whereby persons who claim to be aggrieved by alleged violations of the Code (including alleged deficiencies in member companies’ grievance mechanisms) can seek redress.

As a multi-stakeholder initiative, the ICoCA is governed jointly by its three main stakeholder groups: governments, private security companies, and civil society organizations, each of whom has equal representation on a 12-member Board of Directors. The Board, in turn, oversees the activities of the Secretariat, which manages and executes the day-to-day functions of the ICoCA.

Participation in the Association by representatives from each of these three stakeholder group is vital to the success of the Association by ensuring that a balanced and diverse set of perspectives are brought to bear in the development and management of the ICoCA’s operations. The active participation and support of third parties, including but not limited to non-state (corporate) clients of private security companies, academics, and other observers, is equally important to the success of the Code as a ground-breaking initiative. Each of these groups has an important role to play, and stands to benefit from higher standards across the private security industry world-wide.

This booklet aims to introduce the Code and the ICoCA to interested parties, especially governments, private security companies, civil society organizations, and non-state clients of private security companies. The booklet first provides answers to some of the most frequently asked questions on the ICoC and its Association (The ICoC and its Association: Frequently Asked). Following that, for ease in reference it includes the foundational documents of the ICoC Association (The International Code of Conduct for Private Security Service Providers and The Articles of Association). Finally, procedures to join the Association as a member or observer are detailed in the last section of this booklet (Association Membership Requirements).

In addition to making this booklet available, the ICoCA Secretariat is available to answer any questions from interested parties about the Code and the Association. We look forward to hearing from
you and working with all stakeholders who share our goal of raising standards and continuing the development of an industry that supports and respects human rights and humanitarian law and promotes the highest standards of professional conduct.
THE ICoC AND ITS ASSOCIATION: FREQUENTLY ASKED QUESTIONS
The International Code of Conduct for Private Security Service Providers (ICoC)

What is the ICoC?

The International Code of Conduct for Private Security Service Providers (the “ICoC,” or the “Code”) is the result of a multi-stakeholder initiative that aims to set principles and standards firmly based on international human rights and humanitarian law principles for the private security industry operating in complex environments, as well as to improve oversight and accountability of these companies. The Code was developed through a transparent and inclusive multi-stakeholder process, and sets forth human rights and humanitarian law-based principles for the responsible provision of private security services.

How was the ICoC developed?

The International Code of Conduct for Private Security Service Providers is the fruit of a multi-stakeholder initiative launched by Switzerland, with the over-arching objectives of articulating the human rights responsibilities of private security companies (PSCs), and articulating international principles and standards for the responsible provision of private security services, particularly when operating in complex environments. Over the course of an 18-month process, Switzerland brought together private security
companies, sovereign states (including Australia, the United Kingdom and the United States), civil society organisations and academics to elaborate a code of conduct for the private security industry, based on international humanitarian and human rights law and standards.

At its adoption in 2010, the ICoC was signed by 58 private security companies from fifteen countries. Three years after the adoption of the ICoC (as of August 2013), 708 companies had signed the Code.

**What is the content of the ICoC?**

The principles for the responsible provision of private security services as contained in the Code can be broadly summarized in two categories: first, principles regarding the conduct of PSC personnel based on international human rights and humanitarian law standards; and second, management and governance principles.

Human rights principles guiding PSC personnel include inter alia rules on the use of force, on apprehending and detaining individuals, the prohibition of torture or other cruel, inhuman or degrading treatment or punishment, sexual violence, human trafficking, slavery and forced labour, child labour, and discrimination. Principles on management and governance contained in the ICoC concern the inclusion of the Code in management policy, the vetting of personnel and subcontractors, training of personnel, management of weapons and other material of war, the working environment and harassment, incident reporting, and the establishment of a fair and accessible grievance mechanism offering effective remedies.

**Why is the ICoC needed?**

Recent years have seen an increasing privatization of the security sector. The most significant examples are the employment of PSCs in armed conflicts in, for example, Afghanistan or Iraq, on vessels passing through high risk areas such as the Gulf of Aden, or by the extractive industry to secure their operations. PSCs play an
important role in protecting state and non-state clients engaged in relief, recovery, and reconstruction efforts, commercial business operations, diplomacy and military activity. The activities of PSCs can have potentially positive and negative consequences for their clients, the local population in the area of operation, or the general security environment regarding the enjoyment of human rights and the rule of law. The ICoC is unique in providing clear human rights and humanitarian law standards for PSCs operating in complex environments, and it has been widely accepted by different stakeholders.

What is the target audience of the ICoC?

The ICoC articulates principles applicable to PSCs delivering ‘security services’ in ‘complex environments’. The principles for the responsible provision of private security services as contained in the Code apply globally, wherever PSCs deliver such services.

‘Security services’ as defined in the ICoC include ‘guarding and protection of persons and objects, such as convoys, facilities, designated sites, property or other places (whether armed or unarmed), or any other activity for which the personnel of PSCs are required to carry or operate a weapon in the performance of their duties’.

‘Complex environments’ under the ICoC are defined as ‘any areas experiencing or recovering from unrest or instability, whether due to natural disasters or armed conflicts, where the rule of law has been substantially undermined, and in which the capacity of the state authority to handle the situation is diminished, limited, or non-existent’.

Can companies still sign the ICoC?

Since August 2013 ‘signatory company status’ is no longer granted. Companies interested in committing to the principles contained in the Code and in joining the ICoC process are encouraged to apply for membership of the ICoC Association.
What company commitments are included in the ICoC?

The ICoC includes provisions on:

- implementing appropriate policies and oversight, including steps to be taken in order to establish and maintain an effective internal governance framework to deter, monitor, report, and effectively address adverse impacts on human rights;

- making compliance with this Code – in particular the human rights and humanitarian law principles contained therein – an integral part of contractual agreements with personnel and subcontractors.

Companies also commit to operate in accordance with applicable national and international laws and regulations, in a manner that recognizes and supports the rule of law, respects human rights, and protects the interests of their clients. This includes cooperation with any international authorities exercising jurisdiction on alleged crimes committed by these companies.

Is the ICoC creating new obligations?

The Code itself creates no legal obligations and no legal liabilities for companies that endorsed the ICoC, beyond those which already exist under national or international law. The ICoC complements and does not replace jurisdiction exercised by competent authorities, and does not limit or alter applicable international law or relevant national law.

Is the ICoC relevant to the maritime sector?

The ICoC applies to security services provided in complex environments as defined in the ICoC. The principles within the ICoC apply in maritime environments where the rule of law is undermined and where the capacity of the state authority to handle the situation is diminished, limited or non-existent.

The ICoC enjoys broad acceptance among private maritime security companies: one fourth of ICoCA members provides only maritime
security services, and another fourth provides both land-based and maritime security services.

**How is compliance with the ICoC overseen?**

By signing the ICoC and becoming a member of the ICoC Association, PSCs commit to become certified by the ICoC Association and submit to ongoing independent monitoring, auditing, and verification. Companies are also required to report regularly to the ICoC Association on their performance.

The ICoC Association, in its function as the governance and oversight mechanism of the Code, gathers and receives information on compliance of companies with the ICoC. The Association reviews alleged violations of the Code – including in the field – and engages in constructive dialogue with the companies. If companies violate the ICoC and fail to take corrective action or to cooperate with the Association in good faith, the Association’s Board can initiate suspension proceedings.
The International Code of Conduct for Private Security Service Providers and its Association
The ICoC Association (ICoCA)

What is the ICoC Association?
The International Code of Conduct for Private Security Providers’ Association (ICoC Association or ICoCA) is a multi-stakeholder initiative established as a non-profit association. The purpose of the ICoCA is to promote, govern and oversee implementation of the International Code of Conduct for Private Security Service Providers (ICoC) and to promote the responsible provision of security services and respect for human rights and national and international law in accordance with the Code. The core functions of the ICoC Association are threefold:

- **Certification** of member companies assessing whether a company’s systems and policies meet the requirements of the Code (Article 11 AoA);

- **Monitoring** of member companies’ compliance with the Code based on established human rights methodologies, including in the field (Article 12 AoA);

- **Handling complaints** on alleged violations of the Code, including allegations that a member company’s grievance mechanism is not accessible, fair, or not offering effective remedies (Article 13 AoA).
How was the ICoC Association established?

The ICoC foresees the establishment of an external independent mechanism for effective governance and oversight of the implementation of the Code. The development of this oversight mechanism was convened by Switzerland and led by a multi-stakeholder Temporary Steering Committee, which held numerous meetings and workshops with a wide range of stakeholders. This inclusive process culminated in the adoption of the ICoC Articles of Association in February 2013. The Articles of Association are the founding document of the ICoC Association, which was established in September 2013.

How is the ICoC Association governed?

The main governing bodies of the ICoCA are the General Assembly, the Board of Directors, and the Secretariat operating under the supervision of an Executive Director.

The General Assembly is the supreme governing body of the Association and consists of a gathering of the full membership.

The Board of Directors is the decision-making body of the Association and manages the affairs of the Association. The Board consists of an equal number of representatives from three stakeholder pillars representing government, civil society and industry.

The Executive Director is appointed by and executes the decisions of the Board and - with support of the Secretariat – administers and directs the activities of the Association.

Who are the members of the ICoC Association?

Membership of the ICoC Association consists of States or intergovernmental organizations, private security service providers, and civil society organizations – referred to as the three stakeholder groups.
Member States of the ICoC Association are States that also support the Montreux Document, and include the main headquarter States of PSCs. PSC members of the ICoC Associations come from all continents and range from smaller companies to some of the world market leaders. ICoC Association member companies provide both land-based and maritime-based security services. Civil society organization members of the ICoC Association include international non-governmental organizations as well as local non-governmental organizations working in complex environments where PSCs operate.

In addition, the ICoCA Board of Directors may grant non-voting observer status to persons or entities that are interested in participating in the work of the ICoC Association. The Articles of Association also foresee an Advisory Forum of Montreux Document Participants which is envisaged as a resource to the Board that may provide advice to the Association on national and international policy and regulatory matters.

How to join the ICoC Association?

ICoC Association membership is open to States or intergovernmental organizations, private security service providers, and civil society organizations. In addition to the three membership pillars, there is also an observer category for persons or entities that are interested in participating in the work of the ICoC Association but who would not qualify or would not wish to become a Member.

Membership criteria and procedures for each pillar as well as for observers are available in this booklet and on the ICoCA website.

Why join the Association?

PRIVATE SECURITY COMPANIES

By joining the ICoC Association, private security companies show their commitment to complying with the fundamental human rights and humanitarian law principles and standards articulated in the ICoC. Certification by the Association is a public statement that the
security company’s policies and systems have been independently reviewed and found to be in compliance with the ICoC and that member PSCs’ activities are continuously monitored. Moreover, as an increasing number of States and non-State clients are requiring ICoC Association membership as a prerequisite to participating in bidding processes, becoming an ICoCA member may open up more business opportunities for PSCs.

STATES AND INTERGOVERNMENTAL ORGANIZATIONS

By joining the ICoC Association, States and intergovernmental organizations emphasize their commitment to effective private security sector governance, as well as their support for international human rights - and humanitarian law - based principles and standards applying to the responsible provision of private security services, including those contained in the Montreux Document. As a non-State mechanism, the ICoCA is complementary to national governmental measures and offers an additional facility through which companies can be held accountable, potentially including redress for victims.

CIVIL SOCIETY ORGANIZATIONS

By joining the ICoC Association, civil society organizations help to promote and protect human rights and support the rule of law through improving effective regulation and accountability of the private security sector. Member civil society organizations play a key role in safeguarding the human rights focus of the Association’s core functions, and in ensuring that monitoring is carried out according to established human rights methodologies. Additionally, CSO members can contribute to identifying particular areas and regions where the provision of private security services may encounter higher risks, ensure that the concerns and needs of impacted communities are taken into account, and that complaints processes are accessible and ensure effective remedies.
**What costs are attached to being a member of the ICoCA?**

Financial obligations related to membership will depend on the membership pillar. The ICoC Association is primarily financed by its members.

Government contributions are made on a voluntary basis.

Member Companies pay a joining fee ($1000) and an annual due which is determined according to the company’s revenue as follows.

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<tr>
<th>Subscription Level</th>
<th>Revenue</th>
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<th>Year 2</th>
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<tr>
<td>Level 1</td>
<td>$ 0-3m</td>
<td>$2,500</td>
<td>$3,000</td>
</tr>
<tr>
<td>Level 2</td>
<td>$ 3-20m</td>
<td>$5,000</td>
<td>$6,000</td>
</tr>
<tr>
<td>Level 3</td>
<td>$ 20m+</td>
<td>$9,000</td>
<td>$10,000</td>
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Civil Society membership dues amount to $100, which can be waived under certain conditions.

**Do PSC clients have a role to play in the Association?**

Clients play a pivotal role under the ICoC. The ICoC can have its greatest impact if State and non-State clients of PSCs consider ICoCA membership a prerequisite for hiring a security company, and include this requirement in their procurement policies. Clients have been involved in developing the Code and the Articles of Association. The ICoCA provides non-state clients the possibility to become observers of the ICoC Association, which enables them to participate in the further development of the Code, its Association and the relevant procedures.
THE INTERNATIONAL CODE OF CONDUCT FOR PRIVATE SECURITY SERVICE PROVIDERS

9 November 2010
A. PREAMBLE

1. Private Security Companies and other Private Security Service Providers (collectively “PSCs”) play an important role in protecting state and non-state clients engaged in relief, recovery, and reconstruction efforts, commercial business operations, diplomacy and military activity. In providing these services, the activities of PSCs can have potentially positive and negative consequences for their clients, the local population in the area of operation, the general security environment, the enjoyment of human rights and the rule of law.

2. The Montreux Document On Pertinent International Legal Obligations and Good Practices for States Related to Operations of Private Military and Security Companies During Armed Conflict recognizes that well-established rules of international law apply to States in their relations with private security service providers and provides for good practices relating to PSCs. The “Respect, Protect, Remedy” framework developed by the Special Representative of the United Nations (UN) Secretary-General on Business and Human Rights, and welcomed by the UN Human Rights Council, entails acting with due diligence to avoid infringing the rights of others.

3. Building on these foundations, the Signatory Companies to this International Code of Conduct for Private Security Service Providers (the “Code”) endorse the principles of the Montreux Document and the aforementioned “Respect, Protect, Remedy” framework as they apply to PSCs. In so doing, the Signatory Companies commit to the responsible provision of Security Services so as to support the rule of law, respect the human rights of all persons, and protect the interests of their clients.

4. The Signatory Companies affirm that they have a responsibility to respect the human rights of, and fulfil humanitarian responsibilities towards, all those affected by their business activities, including Personnel, Clients, suppliers, shareholders, and the population of the area in which services are provided. The Signatory Companies also recognize the importance of respecting the various cultures encountered in their work, as
well as the individuals they come into contact with as a result of those activities.

5. The purpose of this Code is to set forth a commonly-agreed set of principles for PSCs and to establish a foundation to translate those principles into related standards as well as governance and oversight mechanisms.

6. Signatory Companies commit to the following, as set forth in this Code:
   a. to operate in accordance with this Code;
   b. to operate in accordance with applicable laws and regulations, and in accordance with relevant corporate standards of business conduct;
   c. to operate in a manner that recognizes and supports the rule of law; respects human rights, and protects the interests of their clients;
   d. to take steps to establish and maintain an effective internal governance framework in order to deter, monitor, report, and effectively address adverse impacts on human rights;
   e. to provide a means for responding to and resolving allegations of activity that violates any applicable national or international law or this Code; and
   f. to cooperate in good faith with national and international authorities exercising proper jurisdiction, in particular with regard to national and international investigations of violations of national and international criminal law, of violations of international humanitarian law, or of human rights abuses.

7. Those establishing this Code recognize that this Code acts as a founding instrument for a broader initiative to create better governance, compliance and accountability. Recognizing that further effort is necessary to implement effectively the principles of this Code, Signatory Companies accordingly commit to work with states, other Signatory Companies, Clients and other relevant stakeholders after initial endorsement of
this Code to, within 18 months:

a. Establish objective and measurable standards for providing Security Services based upon this Code, with the objective of realizing common and internationally-recognized operational and business practice standards; and

b. Establish external independent mechanisms for effective governance and oversight, which will include Certification of Signatory Companies’ compliance with the Code’s principles and the standards derived from the Code, beginning with adequate policies and procedures, Auditing and Monitoring of their work in the field, including Reporting, and execution of a mechanism to address alleged violations of the Code’s principles or the standards derived from the Code;

and thereafter to consider the development of additional principles and standards for related services, such as training of external forces, the provision of maritime security services and the participation in operations related to detainees and other protected persons.

8. Signature of this Code is the first step in a process towards full compliance. Signatory Companies need to: (1) establish and/or demonstrate internal processes to meet the requirements of the Code’s principles and the standards derived from the Code; and (2) once the governance and oversight mechanism is established, become certified by and submit to ongoing independent Auditing and verification by that mechanism. Signatory Companies undertake to be transparent regarding their progress towards implementing the Code’s principles and the standards derived from the Code. Companies will not claim they are certified under this Code until Certification has been granted by the governance and oversight mechanism as outlined below.
B. DEFINITIONS

These definitions are only intended to apply exclusively in the context of this Code.

Auditing – a process through which independent auditors, accredited by the governance and oversight mechanism, conduct on-site audits, including in the field, on a periodic basis, gathering data to be reported to the governance and oversight mechanism which will in turn verify whether a Company is meeting requirements and if not, what remediation may be required.

Certification – a process through which the governance and oversight mechanism will certify that a Company’s systems and policies meet the Code’s principles and the standards derived from the Code and that a Company is undergoing Monitoring, Auditing, and verification, including in the field, by the governance and oversight mechanism. Certification is one element of a larger effort needed to ensure the credibility of any Implementation and oversight initiative.

Client – an entity that hires, has formerly hired, or intends to hire a PSC to perform Security Services on its behalf, including, as appropriate, where such a PSC subcontracts with another Company.

Company – any kind of business entity or form, such as a sole proprietorship, partnership, company (whether public or private), or corporation, and “Companies” shall be interpreted accordingly.

Competent Authority – any state or intergovernmental organization which has jurisdiction over the activities and/or persons in question and “Competent Authorities” shall be interpreted accordingly.

Complex Environments – any areas experiencing or recovering from unrest or instability, whether due to natural disasters or armed conflicts, where the rule of law has been substantially undermined, and in which the capacity of the state authority to handle the situation is diminished, limited, or non-existent.

Implementation – the introduction of policy, governance and oversight mechanisms and training of Personnel and/or subcontractors by Signatory Companies, necessary to demonstrate compliance with the Code’s principles and the standards derived from this Code.
**Monitoring** – a process for gathering data on whether Company Personnel, or subcontractors, are operating in compliance with the Code’s principles and standards derived from this Code.

**Personnel** – persons working for a PSC, whether as employees or under a contract, including its staff, managers and directors. For the avoidance of doubt, persons are considered to be personnel if they are connected to a PSC through an employment contract (fixed term, permanent or open-ended) or a contract of assignment (whether renewable or not), or if they are independent contractors, or temporary workers and/or interns (whether paid or unpaid), regardless of the specific designation used by the Company concerned.

**Private Security Companies and Private Security Service Providers (collectively “PSCs”)** – any Company (as defined in this Code) whose business activities include the provision of Security Services either on its own behalf or on behalf of another, irrespective of how such Company describes itself.

**Reporting** – a process covered by necessary confidentiality and nondisclosure arrangements through which companies will submit to a governance and oversight mechanism a written assessment of their performance pursuant to a transparent set of criteria established by the mechanism.

**Security Services** – guarding and protection of persons and objects, such as convoys, facilities, designated sites, property or other places (whether armed or unarmed), or any other activity for which the Personnel of Companies are required to carry or operate a weapon in the performance of their duties.

**Signatory Companies** – are PSCs that have signed and agreed to operate in compliance with the Code’s principles and the standards derived from the Code and “Signatory Company” shall be interpreted accordingly.
C. IMPLEMENTATION

9. In recognition of the additional steps to be taken to support the Implementation of this Code – in particular the development of standards based on the Code (“standards”) and an independent governance and oversight mechanism (“the mechanism”) as outlined in the Preamble – Signatory Companies intend to, along with other interested stakeholders, convene regularly to review progress toward those steps.

10. Upon signature of the Code, Signatory Companies and other stakeholders will undertake to work with national standards bodies as appropriate to develop standards, with the intent that any national standards would eventually be harmonized in an international set of standards based on the Code.

11. Upon signature of the Code, Signatory Companies and other stakeholders will appoint a multi-stakeholder steering committee of 6-9 members who will function as a “temporary board”. This steering committee will be responsible for developing and documenting the initial arrangements for the independent governance and oversight mechanism, including by-laws or a charter which will outline mandate and governing policies for the mechanism. The Steering Committee will endeavour to complete a work plan for constituting the mechanism before the end of March 2011, and further to develop the bylaws/charter by the end of July 2011 and an operational plan before the end of November 2011.

12. After the independent governance and oversight mechanism has been constituted (by the adoption of bylaws/charter), the governance and oversight mechanism shall accept responsibility for maintenance and administration of the Code, and shall determine whether and how it is appropriate for the mechanism and standards to be reflected in the text of the Code itself.
D. GENERAL PROVISIONS

13. This Code articulates principles applicable to the actions of Signatory Companies while performing Security Services in Complex Environments.

14. This Code complements and does not replace the control exercised by Competent Authorities, and does not limit or alter applicable international law or relevant national law. The Code itself creates no legal obligations and no legal liabilities on the Signatory Companies, beyond those which already exist under national or international law. Nothing in this Code shall be interpreted as limiting or prejudicing in any way existing or developing rules of international law.

15. This Code may be modified in accordance with procedures to be established by the governance and oversight mechanism.

E. GENERAL COMMITMENTS

16. Signatory Companies agree to operate in accordance with the principles contained in this Code. Signatory Companies will require that their Personnel, and all subcontractors or other parties carrying out Security Services under Signatory Company contracts, operate in accordance with the principles contained in this Code.

17. Signatory Companies will implement appropriate policies and oversight with the intent that the actions of their Personnel comply at all times with the principles contained herein.

18. Signatory Companies will make compliance with this Code an integral part of contractual agreements with Personnel and subcontractors or other parties carrying out Security Services under their contracts.

19. Signatory Companies will adhere to this Code, even when the Code is not included in a contractual agreement with a Client.
20. Signatory Companies will not knowingly enter into contracts where performance would directly and materially conflict with the principles of this Code, applicable national or international law, or applicable local, regional and international human rights law, and are not excused by any contractual obligation from complying with this Code. To the maximum extent possible, Signatory Companies will interpret and perform contracts in a manner that is consistent with this Code.

21. Signatory Companies will comply, and will require their Personnel to comply, with applicable law which may include international humanitarian law, and human rights law as imposed upon them by applicable national law, as well as all other applicable international and national law. Signatory Companies will exercise due diligence to ensure compliance with the law and with the principles contained in this Code, and will respect the human rights of persons they come into contact with, including, the rights to freedom of expression, association, and peaceful assembly and against arbitrary or unlawful interference with privacy or deprivation of property.

22. Signatory Companies agree not to contract with, support or service any government, person, or entity in a manner that would be contrary to United Nations Security Council sanctions. Signatory Companies will not, and will require that their Personnel do not, participate in, encourage, or seek to benefit from any national or international crimes including but not limited to war crimes, crimes against humanity, genocide, torture, enforced disappearance, forced or compulsory labour, hostage-taking, sexual or gender-based violence, human trafficking, the trafficking of weapons or drugs, child labour or extrajudicial, summary or arbitrary executions.

23. Signatory Companies will not, and will require that their Personnel do not, invoke contractual obligations, superior orders or exceptional circumstances such as an armed conflict or an imminent armed conflict, a threat to national or international security, internal political instability, or any other public emergency, as a justification for engaging in any of the conduct identified in paragraph 22 of this Code.
24. Signatory Companies will report, and will require their Personnel to report, known or reasonable suspicion of the commission of any of the acts identified in paragraph 22 of this Code to the Client and one or more of the following: the Competent Authorities in the country where the act took place, the country of nationality of the victim, or the country of nationality of the perpetrator.

25. Signatory Companies will take reasonable steps to ensure that the goods and services they provide are not used to violate human rights law or international humanitarian law, and such goods and services are not derived from such violations.

26. Signatory Companies will not, and will require that their Personnel do not, consistent with applicable national and international law, promise, offer, or give to any public official, directly or indirectly, anything of value for the public official himself or herself or another person or entity, in order that the public official act or refrain from acting in the exercise of his or her official duties if such inducement is illegal. Signatory Companies will not, and will require their Personnel do not, solicit or accept, directly or indirectly, anything of value in exchange for not complying with national and international law and/or standards, or with the principles contained within this Code.

27. Signatory Companies are responsible for establishing a corporate culture that promotes awareness of and adherence by all Personnel to the principles of this Code. Signatory Companies will require their Personnel to comply with this Code, which will include providing sufficient training to ensure Personnel are capable of doing so.
F. SPECIFIC PRINCIPLES REGARDING THE CONDUCT OF PERSONNEL

General Conduct

28. Signatory Companies will, and will require their Personnel to, treat all persons humanely and with respect for their dignity and privacy and will report any breach of this Code.

Rules for the Use of Force

29. Signatory Companies will adopt Rules for the Use of Force consistent with applicable law and the minimum requirements contained in the section on Use of Force in this Code and agree those rules with the Client.

Use of Force

30. Signatory Companies will require their Personnel to take all reasonable steps to avoid the use of force. If force is used, it shall be in a manner consistent with applicable law. In no case shall the use of force exceed what is strictly necessary, and should be proportionate to the threat and appropriate to the situation.

31. Signatory Companies will require that their Personnel not use firearms against persons except in self-defence or defence of others against the imminent threat of death or serious injury, or to prevent the perpetration of a particularly serious crime involving grave threat to life.

32. To the extent that Personnel are formally authorized to assist in the exercise of a state’s law enforcement authority, Signatory Companies will require that their use of force or weapons will comply with all national and international obligations applicable to regular law enforcement officials of that state and, as a minimum, with the standards expressed in the United Nations Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (1990).
Detention

33. Signatory Companies will only, and will require their Personnel will only, guard, transport, or question detainees if: (a) the Company has been specifically contracted to do so by a state; and (b) its Personnel are trained in the applicable national and international law. Signatory Companies will, and will require that their Personnel, treat all detained persons humanely and consistent with their status and protections under applicable human rights law or international humanitarian law, including in particular prohibitions on torture or other cruel, inhuman or degrading treatment or punishment.

Apprehending Persons

34. Signatory Companies will, and will require their Personnel to, not take or hold any persons except when apprehending persons to defend themselves or others against an imminent threat of violence, or following an attack or crime committed by such persons against Company Personnel, or against clients or property under their protection, pending the handover of such detained persons to the Competent Authority at the earliest opportunity. Any such apprehension must be consistent with applicable national or international law and be reported to the Client without delay. Signatory Companies will, and will require that their Personnel to, treat all apprehended persons humanely and consistent with their status and protections under applicable human rights law or international humanitarian law, including in particular prohibitions on torture or other cruel, inhuman or degrading treatment or punishment.

Prohibition of Torture or Other Cruel, Inhuman or Degrading Treatment or Punishment

35. Signatory Companies will not, and will require that their Personnel not, engage in torture or other cruel, inhuman or degrading treatment or punishment. For the avoidance of doubt,
torture and other cruel, inhuman or degrading treatment or punishment, as referred to here, includes conduct by a private entity which would constitute torture or other cruel, inhuman or degrading treatment or punishment if committed by a public official.

36. Contractual obligations, superior orders or exceptional circumstances such as an armed conflict or an imminent armed conflict, a threat to national or international security, internal political instability, or any other public emergency, can never be a justification for engaging in torture or other cruel, inhuman or degrading treatment or punishment.

37. Signatory Companies will, and will require that their Personnel, report any acts of torture or other cruel, inhuman or degrading treatment or punishment, known to them, or of which they have reasonable suspicion. Such reports will be made to the Client and one or more of the following: the competent authorities in the country where the acts took place, the country of nationality of the victim, or the country of nationality of the perpetrator.

Sexual Exploitation and Abuse or Gender-Based Violence

38. Signatory Companies will not benefit from, nor allow their Personnel to engage in or benefit from, sexual exploitation (including, for these purposes, prostitution) and abuse or gender-based violence or crimes, either within the Company or externally, including rape, sexual harassment, or any other form of sexual abuse or violence. Signatory Companies will, and will require their Personnel to, remain vigilant for all instances of sexual or gender-based violence and, where discovered, report such instances to competent authorities.

Human Trafficking

39. Signatory Companies will not, and will require their Personnel not to, engage in trafficking in persons. Signatory Companies will, and will require their Personnel to, remain vigilant for all
instances of trafficking in persons and, where discovered, report such instances to Competent Authorities. For the purposes of this Code, human trafficking is the recruitment, harbouring, transportation, provision, or obtaining of a person for (1) a commercial sex act induced by force, fraud, or coercion, or in which the person induced to perform such an act has not attained 18 years of age; or (2) labour or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, debt bondage, or slavery.

Prohibition of Slavery and Forced Labour

40. Signatory Companies will not use slavery, forced or compulsory labour, or be complicit in any other entity’s use of such labour.

Prohibition on the Worst Forms of Child Labour

41. Signatory Companies will respect the rights of children (anyone under the age of 18) to be protected from the worst forms of child labour, including:

a. all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced or compulsory labour, including forced or compulsory recruitment of children for use in provision of armed services;

b. the use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances;

c. the use, procuring or offering of a child for illicit activities, in particular for the production and trafficking of drugs;

d. work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children.
Signatory Companies will, and will require their Personnel to, report any instances of the activities referenced above that they know of, or have reasonable suspicion of, to Competent Authorities.

**Discrimination**

42. Signatory Companies will not, and will require that their Personnel do not, discriminate on grounds of race, colour, sex, religion, social origin, social status, indigenous status, disability, or sexual orientation when hiring Personnel and will select Personnel on the basis of the inherent requirements of the contract.

**Identification and Registering**

43. Signatory Companies, to the extent consistent with reasonable security requirements and the safety of civilians, their Personnel and Clients, will:

a. require all Personnel to be individually identifiable whenever they are carrying out activities in discharge of their contractual responsibilities;

b. ensure that their vehicles are registered and licensed with the relevant national authorities whenever they are carrying out activities in discharge of their contractual responsibilities; and

c. will ensure that all hazardous materials are registered and licensed with the relevant national authorities.

**G. SPECIFIC COMMITMENTS REGARDING MANAGEMENT AND GOVERNANCE**

**Incorporation of the Code into Company Policies**

44. Signatory Companies will incorporate this Code into Company policies and internal control and compliance systems and integrate it into all relevant elements of their operations.
Selection and Vetting of Personnel

45. Signatory Companies will exercise due diligence in the selection of Personnel, including verifiable vetting and ongoing performance review of their Personnel. Signatory Companies will only hire individuals with the requisite qualifications as defined by the applicable contract, applicable national law and industry standards, and the principles contained in this Code.

46. Signatory Companies will not hire individuals under the age of 18 years to carry out Security Services.

47. Signatory Companies will assess and ensure the continued ability of Personnel to perform their duties in accordance with the principles of this Code and will regularly evaluate Personnel to ensure that they meet appropriate physical and mental fitness standards to perform their contracted duties.

48. Signatory Companies will establish and maintain internal policies and procedures to determine the suitability of applicants, or Personnel, to carry weapons as part of their duties. At a minimum, this will include checks that they have not:

   a. been convicted of a crime that would indicate that the individual lacks the character and fitness to perform security services pursuant to the principles of this Code;

   b. been dishonourably discharged;

   c. had other employment or engagement contracts terminated for documented violations of one or more of the principles contained in this Code; or

   d. had a history of other conduct that, according to an objectively reasonable standard, brings into question their fitness to carry a weapon.

For the purposes of this paragraph, disqualifying crimes may include, but are not limited to, battery, murder, arson, fraud, rape, sexual abuse, organized crime, bribery, corruption, perjury, torture, kidnapping, drug trafficking or trafficking in persons. This provision shall not override any law restricting whether a crime may be considered in evaluating
an applicant. Nothing in this section would prohibit a Company from utilizing more stringent criteria.

49. Signatory Companies will require all applicants to authorize access to prior employment records and available Government records as a condition for employment or engagement. This includes records relating to posts held with the military, police or public or Private Security Providers. Moreover, Signatory Companies will, consistent with applicable national law, require all Personnel to agree to participate in internal investigations and disciplinary procedures as well as in any public investigations conducted by competent authorities, except where prohibited by law.

Selection and Vetting of Subcontractors

50. Signatory Companies will exercise due diligence in the selection, vetting and ongoing performance review of all subcontractors performing Security Services.

51. In accordance with principle 13 of this Code, Signatory Companies will require that their Personnel and all subcontractors and other parties carrying out Security Services under the contract, operate in accordance with the principles contained in this Code and the standards derived from the Code. If a Company contracts with an individual or any other group or entity to perform Security Services, and that individual or group is not able to fulfil the selection, vetting and training principles contained in this Code and the standards derived from the Code, the contracting Company will take reasonable and appropriate steps to ensure that all selection, vetting and training of subcontractor’s Personnel is conducted in accordance with the principles contained in this Code and the standards derived from the Code.
Company Policies and Personnel Contracts

52. Signatory Companies will ensure that their policies on the nature and scope of services they provide, on hiring of Personnel and other relevant Personnel reference materials such as Personnel contracts include appropriate incorporation of this Code and relevant and applicable labour laws. Contract terms and conditions will be clearly communicated and available in a written form to all Personnel in a format and language that is accessible to them.

53. Signatory Companies will keep employment and service records and reports on all past and present personnel for a period of 7 (seven) years. Signatory Companies will require all Personnel to authorize the access to, and retention of, employment records and available Government records, except where prohibited by law. Such records will be made available to any compliance mechanism established pursuant to this Code or Competent Authority on request, except where prohibited by law.

54. Signatory Companies will only hold passports, other travel documents, or other identification documents of their Personnel for the shortest period of time reasonable for administrative processing or other legitimate purposes. This paragraph does not prevent a Company from co-operating with law enforcement authorities in the event that a member of their Personnel is under investigation.
Training of Personnel

55. Signatory Companies will ensure that all Personnel performing Security Services receive initial and recurrent professional training and are also fully aware of this Code and all applicable international and relevant national laws, including those pertaining to international human rights, international humanitarian law, international criminal law and other relevant criminal law. Signatory Companies will maintain records adequate to demonstrate attendance and results from all professional training sessions, including from practical exercises.

Management of Weapons

56. Signatory Companies will acquire and maintain authorizations for the possession and use of any weapons and ammunition required by applicable law.

57. Signatory Companies will neither, and will require that their Personnel do not, possess nor use weapons or ammunition which are illegal under any applicable law. Signatory Companies will not, and will require that their Personnel not, engage in any illegal weapons transfers and will conduct any weapons transactions in accordance with applicable laws and UN Security Council requirements, including sanctions. Weapons and ammunition will not be altered in any way that contravenes applicable national or international law.

58. Signatory Company policies or procedures for management of weapons and ammunitions should include:
   a. secure storage;
   b. controls over their issue;
   c. records regarding to whom and when weapons are issued;
   d. identification and accounting of all ammunition; and
   e. verifiable and proper disposal.
Weapons Training

59. Signatory Companies will require that:

a. Personnel who are to carry weapons will be granted authorization to do so only on completion or verification of appropriate training with regard to the type and model of weapon they will carry. Personnel will not operate with a weapon until they have successfully completed weapon-specific training.

b. Personnel carrying weapons must receive regular, verifiable and recurrent training specific to the weapons they carry and rules for the use of force.

c. Personnel carrying weapons must receive appropriate training in regard to rules on the use of force. This training may be based on a variety of relevant standards, but should be based at a minimum on the principles contained in this Code and the UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (1990), and national laws or regulations in effect in the area duties will be performed.

Management of Materiel of War

60. Signatory Companies will, and will require that their Personnel to, acquire and maintain all authorizations for the possession and use of any materiel of war, e.g. hazardous materials and munitions, as required by applicable law.

61. Signatory Companies will neither, and will require that their Personnel will neither, possess nor use any materiel of war, e.g. hazardous materials and munitions, which are illegal under any applicable law. Signatory Companies will not, and will require that their Personnel not engage in any illegal material transfers and will conduct any materiel of war transactions in accordance with applicable laws and UN Security Council requirements, including sanctions.
62. Signatory Company policies or procedures for management of materiel of war, e.g. hazardous materials and munitions, should include:
   a. secure storage;
   b. controls over their issue;
   c. records regarding to whom and when materials are issued; and
   d. proper disposal procedures.

**Incident Reporting**

63. Signatory Companies will prepare an incident report documenting any incident involving its Personnel that involves the use of any weapon, which includes the firing of weapons under any circumstance (except authorized training), any escalation of force, damage to equipment or injury to persons, attacks, criminal acts, traffic accidents, incidents involving other security forces, or such reporting as otherwise required by the Client, and will conduct an internal inquiry in order to determine the following:
   a. time and location of the incident;
   b. identity and nationality of any persons involved including their addresses and other contact details;
   c. injuries/damage sustained;
   d. circumstances leading up to the incident; and
   e. any measures taken by the Signatory Company in response to it.

Upon completion of the inquiry, the Signatory Company will produce in writing an incident report including the above information, copies of which will be provided to the Client and, to the extent required by law, to the Competent Authorities.
Safe and Healthy Working Environment

64. Signatory Companies will strive to provide a safe and healthy working environment, recognizing the possible inherent dangers and limitations presented by the local environment. Signatory Companies will ensure that reasonable precautions are taken to protect relevant staff in high-risk or life-threatening operations. These will include:

a. assessing risks of injury to Personnel as well as the risks to the local population generated by the activities of Signatory Companies and/or Personnel;

b. providing hostile environment training;

c. providing adequate protective equipment, appropriate weapons and ammunition, and medical support; and

d. adopting policies which support a safe and healthy working environment within the Company, such as policies which address psychological health, deter workplace violence, misconduct, alcohol and drug abuse, sexual harassment and other improper behaviour.

Harassment

65. Signatory Companies will not tolerate harassment and abuse of co-workers by their Personnel.

Grievance Procedures

66. Signatory Companies will establish grievance procedures to address claims alleging failure by the Company to respect the principles contained in this Code brought by Personnel or by third parties.

67. Signatory Companies will:

a. establish procedures for their Personnel and for third parties to report allegations of improper and/or illegal conduct to designated Personnel, including such acts or omissions that would violate the principles contained in this Code.
Procedures must be fair, accessible and offer effective remedies, including recommendations for the prevention of recurrence. They shall also facilitate reporting by persons with reason to believe that improper or illegal conduct, or a violation of this Code, has occurred or is about to occur, of such conduct, to designated individuals within a Company and, where appropriate, to competent authorities;

b. publish details of their grievance mechanism on a publically accessible website;

c. investigate allegations promptly, impartially and with due consideration to confidentiality;

d. keep records about any such allegations, findings or disciplinary measures. Except where prohibited or protected by applicable law, such records should be made available to a Competent Authority on request;

e. cooperate with official investigations, and not participate in or tolerate from their Personnel, the impeding of witnesses, testimony or investigations;

f. take appropriate disciplinary action, which could include termination of employment in case of a finding of such violations or unlawful behaviour; and

g. ensure that their Personnel who report wrongdoings in good faith are provided protection against any retaliation for making such reports, such as shielding them from unwarranted or otherwise inappropriate disciplinary measures, and that matters raised are examined and acted upon without undue delay.

68. No provision in this Code should be interpreted as replacing any contractual requirements or specific Company policies or procedures for reporting wrongdoing.
Meeting Liabilities

69. Signatory Companies will ensure that they have sufficient financial capacity in place at all times to meet reasonably anticipated commercial liabilities for damages to any person in respect of personal injury, death or damage to property. Sufficient financial capacity may be met by customer commitments, adequate insurance coverage, (such as by employer’s liability and public liability coverage appropriately sized for the scale and scope of operations of the Signatory Company) or self insurance/retention. Where it is not possible to obtain suitable insurance cover, the Signatory Company will make alternative arrangements to ensure that it is able to meet such liabilities.

H. REVIEW

70. The Swiss Government will maintain a public list of Signatory Companies and convene an initial review conference with a view to reviewing the Code after governance and oversight mechanisms (as referenced in the Preamble and Section C “Implementation” to this Code) are developed.
ARTICLES OF ASSOCIATION

20 September 2013
ARTICLE 1

NAME AND REGISTERED OFFICE

1.1 The International Code of Conduct for Private Security Service Providers’ Association (alternatively known as the Association) is a multi-stakeholder initiative established as a non-profit Association in accordance with Articles 60 et. seq. of the Swiss Civil Code and with these Articles of Association. This Association is an independent legal entity with legal capacity governed by Swiss law. Its duration is unlimited.

1.2 The Association has its seat in the Canton of Geneva.

1.3 The official language of the Association is English.

ARTICLE 2

PURPOSE

2.1 The Association has no profit motive.

2.2 The purpose (“Purpose”) of the Association is to promote, govern and oversee implementation of the International Code of Conduct for Private Security Service Providers (hereinafter “ICoC” or “Code”) and to promote the responsible provision of security services and respect for human rights and national and international law in accordance with the Code.

2.3 The Association may engage in all activities and take all actions necessary and appropriate to carry out this purpose in accordance with these Articles.
ARTICLE 3

MEMBERSHIP

3.1 Membership in the Association shall be divided into three membership categories reflecting stakeholder pillars: the Private Security Companies and Private Security Service Providers (collectively “PSCs”) pillar (hereinafter PSC pillar), the civil society organization (CSO) pillar, and the government pillar.

3.2 Within six (6) months of adoption of these Articles, the Board shall propose for approval by the General Assembly membership requirements for each of the three stakeholder pillars.

3.3 In determining membership requirements for each stakeholder pillar, the Board shall observe the following:

3.3.1 PSCs shall be eligible for membership upon certification under Article 11 of these Articles. As a transitional matter, companies that formally endorse these Articles, and meet the obligations of membership, shall enjoy on a provisional basis the rights of membership prior to certification under Article 11 until one year following the approval of certification procedures under Article 11.

3.3.2 States and intergovernmental organizations that have communicated their support of the Montreux Document and who communicate their intent to support the principles of the ICoC and participate in the activities of the Association as specified in these Articles are eligible for membership. States and intergovernmental organizations may indicate on becoming a Member where legal requirements may prevent them from undertaking a specified organizational responsibility set forth in these Articles. In becoming a Member, such States and intergovernmental organizations commit to provide information related to their implementation of the Montreux Document and the Code, including the development of their domestic regulatory framework.
for PSC activities, and to promote compliance with the ICoC in their contracting practices and policies.

3.3.3 Civil society Members shall be independent, non-profit organizations with a demonstrated institutional record at the local, national, or international level of the promotion and protection of human rights, international humanitarian law or the rule of law. Independence shall be assessed by reference to relationships with other stakeholder pillars, such as via specific, relevant or substantial funding, or through active working relationships. Civil society Members commit to promote the Purpose of the Association.

3.4 In addition to the Member categories described above, the Board shall adopt procedures for approval by the General Assembly in accordance with these Articles to grant non-voting observer status to other parties, including non-state clients, companies providing services or other support to PSCs, and other stakeholders who have demonstrated support for the principles of the ICoC and the Purpose of the Association.

ARTICLE 4
LIABILITY

4.1 The Association’s financial obligations shall be satisfied only from its assets. Members of the Association shall not be personally liable for any acts, omissions, obligations or debts of the Association. The Association shall adopt appropriate procedures to address the indemnification of Members of the Board of Directors, Secretariat and the Executive Director.
ARTICLE 5

ASSOCIATION BODIES

5.1 The bodies of the Association are: the General Assembly; the Board of Directors; the Secretariat operating under the supervision of an Executive Director; and such other bodies that may be established pursuant to these Articles.

ARTICLE 6

GENERAL ASSEMBLY

6.1 The General Assembly is the supreme governing body of the Association and consists of a gathering of the full membership and shall take place at such times as may be determined by the Board of Directors, or by the request of at least 20 percent of the membership, but in no case shall meet less than once a year.

6.2 The General Assembly shall provide a forum for voting on matters as required under these Articles and for multi-stakeholder dialogue and discussion related to the ICoC and shall consider such agenda items as may be provided by the Board of Directors or, with the approval of the Board of Directors, proposed by the membership.

6.3 The General Assembly supervises the Association’s other corporate bodies. The right of supervision includes the right to dismiss other corporate bodies at any time.

6.4 The General Assembly shall also have the power to approve decisions by the Board of Directors in the following areas before such decisions will enter into force:

6.4.1 Amendments to the Code;

6.4.2 Amendments to these Articles of Association;

6.4.3 Requirements for membership and observer status in the Association as well as withdrawal from the Association;
6.4.4 Establishment of membership dues;
6.4.5 Review and approval of financial statements, including external audits;
6.4.6 Certification Procedures;
6.4.7 Reporting, Monitoring and Assessing Performance Procedures;
6.4.8 Complaints Process Procedures.

6.5 Each Member shall have one vote on matters before the General Assembly. Ratification of amendments to the ICoC or to these Articles of Associations shall require a vote of not less than two-thirds of the Members present and eligible to vote in each of the three stakeholder pillars. Election and dismissal of a Board Director shall require a majority vote of Members present and eligible to vote; only Members from a given stakeholder pillar shall be eligible to vote on election and dismissal of a Board Director representing that pillar. All other decisions taken pursuant to this Article shall require a vote of the majority of the Members present and eligible to vote in each of the three stakeholder pillars.

6.6 The chair of the Board shall chair proceedings of the General Assembly and shall propose rules of procedure, including proxy voting and virtual meeting procedures, for the conduct of the General Assembly.

6.7 Powers not specified in these Articles shall be reserved to the Board of Directors.

6.8 A quorum for proceedings of the General Assembly shall be established by the participation in the meeting of at least twenty-five percent of the Members in each of the three stakeholder pillars. Proceedings of the General Assembly may not be convened at less than thirty (30) days’ notice.
ARTICLE 7

BOARD OF DIRECTORS

7.1 The Board of Directors (alternatively “the Board”) is the executive decision-making body of the Association. The Board manages the affairs of the association in accordance with the provisions of these Articles. In so doing it seeks to represent the interests of the Association Members as a whole.

7.2 The Board shall be composed of twelve Directors, with four seats allocated to each of the stakeholder pillars. Each Board Director shall be committed to the Purpose of the Association and shall fairly represent the views of the stakeholder pillar he or she represents. Board Directors shall be selected in accordance with the requirements set forth in this Article and under nomination procedures to be established by each stakeholder pillar. Directors shall be selected with regard for the need for a high level of competency, commitment to participation, and diversity of experiences, insights and perspectives related to the Purpose of the Association. The Board shall maintain a record of the nomination procedures adopted by each stakeholder pillar. Election and dismissal of Board Directors shall be approved by the General Assembly in accordance with Article 6.5.

7.3 Except as otherwise provided for the initial Board in the Instrument of Adoption of these Articles, Board Directors shall serve three year terms. The Board shall provide for the staggered re-election of Board Directors as their terms expire and for the replacement of Board Directors when vacancies occur. No Board Director shall serve for more than two consecutive terms.

7.4 The Board may select a Chairperson from among its membership or select an additional non-voting Independent Chairperson. The Chairperson is responsible for convening and chairing Board meetings and otherwise managing the Board’s business. The Chairperson’s term shall be established upon selection, but in no case shall exceed three years or, in the case of a Board Member with less than three years remaining in his or her term, the remainder of the term.
7.5 The Board shall meet as necessary, but at least annually, in person or by other means as the Board may determine as necessary to implement its responsibilities under these Articles.

7.6 Unless otherwise provided by these Articles, decisions of the Board shall be taken by a majority of eight Board Directors, which must include a minimum of two votes from Board Directors from each of the three stakeholder pillars.

7.7 The Board shall adopt its own rules of procedure to, among other things, address the confidentiality obligations of Board Members, identify and disclose potential conflicts of interest and provide for recusal or other appropriate measures for Board Members in the event of a conflict of interest.

7.8 Board Directors shall act on an unpaid basis and be entitled only to the compensation of their effective costs and travelling expenses.

ARTICLE 8

POWERS OF THE BOARD OF DIRECTORS

8.1 The Board has authority and responsibility to:

8.1.1 Oversee the operations of the Secretariat, including through preparation, review and approval of an annual budget, and by approving staffing levels and staffing rules;

8.1.2 Provide an annual report on the activities of the Association and the implementation of the ICoC to the General Assembly;

8.1.3 Make recommendations to the General Assembly, including any recommendations for the amendment of the ICoC or these Articles in accordance with these Articles;

8.1.4 Develop procedures, for approval by the General Assembly, for the functions of the Association under Articles 11, 12 and 13;
8.1.5 Develop requirements for Association membership and observer status and withdrawal in accordance with these Articles including measures, which shall be separately approved by the General Assembly, for suspension, termination or other such activities;

8.1.6 Oversee the finances of the Association, including the adoption of appropriate financial controls, arrangements for external audits, and the preparation of appropriate financial statements in accordance with applicable law;

8.1.7 Recommend membership dues for approval by the General Assembly in accordance with these Articles; and

8.1.8 Establish such other committees or bodies, including an Advisory Board, as may be necessary to provide for the effective operation of the Association.

8.2 In exercising its responsibilities the Board will have due regard to the essential nature of any activity and applicable law, the budget and available resources, and the risks associated with the activity.

ARTICLE 9

EXECUTIVE DIRECTOR AND SECRETARIAT

9.1 The Executive Director shall be appointed by the Board and shall execute the decisions of the Board and otherwise direct the activities and administration of the Association and Secretariat subject to the authority of the Board and in accordance with these Articles.

9.2 Subject to Article 8.1.1, the Executive Director shall hire and supervise such staff as may be required to carry out the activities of the Association as prescribed by these Articles.

9.3 The Secretariat shall be responsible for maintaining records necessary for the ongoing governance of the Association ("The
Articles of Association

that shall include, but is not limited to: a) rules; b) bylaws; c) records of votes; and d) any other records of governance.

ARTICLE 10

ADVISORY FORUM OF MONTREUX DOCUMENT PARTICIPANTS

10.1 An Advisory Forum of Montreux Document Participants shall be established. The Forum will be open to all Montreux Document Participants irrespective of their membership status in the Association and will be available as a resource to the Board. The purpose of this body is to provide advice to the Association on national and international policy and regulatory matters.

ARTICLE 11

CERTIFICATION

11.1 The Association shall be responsible for certifying under the Code that a company’s systems and policies meet the Code’s principles and the standards derived from the Code and that a company is undergoing monitoring, auditing, and verification, including in the field.

11.2 The Board shall develop procedures for this Article based on the following elements and submit them to the General Assembly for approval:

11.2.1 The Board shall define the certification requirements based on national or international standards and processes that are recognized by the Board as consistent with the Code and specifying any additional information relevant to the human rights and humanitarian impact of operations it deems necessary for assessing whether a company’s systems and policies meet the requirements of the Code and its readiness to participate in the Association;
11.2.2 Companies shall provide evidence of certification under a standard recognized by the Board and keep this certification current, and provide such additional information as the Board has specified under Article 11.2.1;

11.2.3 Companies shall provide a written, public declaration of their intent to adhere to the Code with such language as the Board may prescribe, and to participate fully in the Association’s activities under Articles 12 and 13; and

11.2.4 The certification process shall operate in a manner that is complementary to, and not duplicative of, certification under Board-recognized national and international standards.

11.3 Certification by the Association shall remain valid for a period of three years.

11.4 The Association shall foster and promote the development and harmonization of standards in accordance with the Code, and maintain a registry of companies certified in accordance with this Article.

ARTICLE 12

REPORTING, MONITORING AND ASSESSING PERFORMANCE

12.1 The Association shall be responsible for exercising oversight of Member companies’ performance under the Code, including through external monitoring, reporting and a process to address alleged violations of the Code.

12.2 The Board shall develop procedures for this Article based on the following elements and submit them to the General Assembly for approval:
12.2.1 Using established human rights methodologies, the Secretariat shall gather and receive information from public and other available sources on whether Member companies are operating in compliance with the Code.

12.2.2 Member companies shall provide to the Association a written assessment of their performance pursuant to a transparent set of criteria covered by necessary confidentiality and nondisclosure arrangements.

12.2.3 The Executive Director may initiate a field based review, unless the Board decides otherwise, (i) where the review of available information or a human rights risk assessment has identified a need for further monitoring within an area of one or more Member companies’ operations, or (ii) on request from a Member of the Association. In each case such field base review shall be aimed at improving performance or addressing specific compliance concerns.

12.2.4 The Secretariat shall review information gathered pursuant to Articles 12.2.1-12.2.3 to identify compliance concerns, assess the human rights impacts of company operations, and identify and analyze broader patterns in particular complex environments.

12.2.5 The Secretariat shall offer observations and engage in dialogue with Member companies aimed at improving performance or addressing specific compliance concerns. The Executive Director shall refer alleged violations of the Code to the Board. The Executive Director shall report regularly to the Board on the Secretariat’s activities pursuant to this Article.

12.2.6 The Board shall review performance and compliance issues referred by the Executive Director or at its own initiative. The Board shall offer observations and advice to Member companies aimed at improving performance or addressing specific compliance concerns.
12.2.7 If the Board determines that corrective action is required to remedy non-compliance with the Code, the Board shall request a Member company take corrective action within a specific time period. Should a Member company fail to take reasonable corrective action within the period specified by the Board, or fail to act in good faith in accordance with these Articles, then the Board shall initiate suspension proceedings in accordance with these Articles.

12.2.8 Member companies shall be expected to co-operate in good faith, consistent with applicable contractual and legal requirements.

12.2.9 The Board shall implement necessary confidentiality and nondisclosure arrangements related to its activities under this Article. Subject to these arrangements and following consultations with relevant parties, the Board may issue a public statement on the status or outcome of the Association’s review of a Member company.

12.2.10 The Board shall ensure that the Association appropriately respects legal investigations or proceedings and any rights or privileges attached to those investigations or proceedings in carrying out the functions of this Article, but the presence of a legal investigation or proceeding will not necessarily of itself cause suspension of the functions of this Article.

12.3 The Association will report publicly, no less than annually, on its activities under this article.

12.4 The Association shall serve as a central agency for, and will promote industry best practices on, particular elements of the Code that will be available to companies.
ARTICLE 13

COMPLAINTS PROCESS

13.1 The Association shall maintain a process to support Member companies in discharging their commitments under paragraphs 66, 67, and 68 of the Code, which require Companies to address claims alleging violations of the Code by establishing fair and accessible grievance procedures that offer effective remedies.

13.2 The Board shall develop procedures for this Article based on the following elements and submit them to the General Assembly for approval:

13.2.1 The Secretariat shall receive complaints from individuals or their representatives, which must both (i) contain specific allegations of conduct that, if true, would constitute a violation of the Code, and (ii) allege harm to one or more of those individuals. Complaints, including purely contractual or personnel disputes, that do not meet these criteria, or that are manifestly unfounded, frivolous or vexatious, will not be considered.

13.2.2 After a complaint has been received and considered under Article 13.2.1, the Secretariat shall inform the complainant, in a timely manner, of fair and accessible grievance procedures that may offer an effective remedy, including any such grievance procedure provided by a relevant Member company. The Secretariat may facilitate access to such grievance procedures, but shall remain neutral and shall not act in a representative capacity.

13.2.3 If a complainant alleges that a grievance procedure provided by a relevant Member company is not fair, not accessible, does not or cannot offer an effective remedy, or otherwise does not comply with paragraph 67 of the Code, the Secretariat shall review that allegation.
13.2.4 After conducting such a review, the Secretariat may offer observations to the Member company, the complainant and the Board and engage in dialogue with the Member company and the complainant to address how, if at all, the grievance procedure provided by the Member company does not comply with paragraph 67 of the Code and on the possible need for corrective action, including the suitability of the complaint being referred to another, identified fair and accessible grievance procedure that may offer an effective remedy.

13.2.5 After receiving the observations of the Secretariat, the Board may suggest that the complaint be referred to another, identified fair and accessible grievance procedure that may offer an effective remedy, and/or recommend that the Member company take corrective action within a specified period. This may include cooperation with the Association’s good offices, the provision of a neutral and confidential mediation process, or other arrangements that may assist the Member company to offer an effective remedy as required by paragraphs 66 and 67 of the Code. The Association shall not impose a specific award on the parties.

13.2.6 If, after further consultation with the complainant and Member company, the Board considers that the Member company has taken reasonable corrective action or the parties have referred the claim to a fair and accessible grievance procedure that may offer an effective remedy, it may determine that the complaint has been addressed.

13.2.7 Member companies shall be expected to cooperate in good faith, consistent with applicable law and contractual requirements. If, after further consultation with the complainant and the Member company, the Board considers that the Member company has failed to take reasonable corrective action within a specified
period or cooperate in good faith in accordance with this Article, it shall take action, which may include suspension or termination of membership.

13.2.8 Member companies shall provide, in good faith, to the Association information relevant to the complaint, consistent with applicable law and contractual requirements.

13.2.9 The Association shall discharge its function under this Article in a timely manner and respect the confidentiality of the complainant, Member companies, and other stakeholders, and, where relevant, consider the complainant’s fear of reprisal.

13.2.10 The existence of legal investigations or proceedings addressing the alleged conduct shall be considered, but will not of itself cause a suspension of the complaints process. The Board may suspend or otherwise limit the complaints process as necessary and appropriate in order to avoid serious prejudice to any such investigations or proceedings or party thereto.

13.3 From time to time the Board shall publish guidance to Members on best practice and compliance with paragraphs 66, 67 and 68 of the Code, based on a review of complaints brought to the Association and claims brought to Member companies, and other relevant developments.

**ARTICLE 14**

**FINANCES**

14.1 The Association shall derive its resources from membership dues; contributions provided by its membership; public and private donations, grants, fees and other payments; in-kind contributions and support; and its own assets. The Association shall strive to achieve an appropriate balance of public and private funding.
14.2 The membership dues for companies shall be set as an annual fixed amount for small, medium and large Members. The three categories shall be based on each Member company’s revenue related to the provision of security services as defined in the Code.

14.3 The Association’s assets shall be used entirely and exclusively in furtherance of the Association’s public utility purposes as defined in Article 2 of the present Articles of Association. Surplus revenues realized by the Association may in no case be distributed to Members of the Association.

14.4 The Board may suspend or terminate the membership of a company, or suspend processing of the certification application of a company, where such company is in arrears in its financial obligations to the Association and does not cure such arrears within sixty (60) days after notice from the Association. A company that fails to cure financial arrears within the 60-day period shall not be entitled to vote in a meeting of the General Assembly.

14.5 The Association shall not normally be responsible for the costs of Board Directors fulfilling their duties nor make payment for fulfilling duties as a Board Director.

ARTICLE 15

FORMATION AND DISSOLUTION

15.1 Private Security Service Providers who have signed the ICoC, together with civil society organizations and governments, have adopted these Articles of Association and have thereby created the ICoC Association, and have selected the first Board of Directors of the Association, on the occasion of its inaugural meeting, held in Geneva, Switzerland on [date].

15.2 The Association may be dissolved by the General Assembly upon a recommendation by the Board or by resolution from among the membership of the General Assembly. Dissolution
shall require a vote of not less than two-thirds of the Members in each of the three stakeholder pillars who are present at the General Assembly and eligible to vote and may be decided only if such decision is included in the General Assembly’s agenda. Dissolution is also de jure in the event of insolvency or if its bodies can no longer be constituted.

15.3 In the event of liquidation of the Association, its remaining assets shall be entirely assignable to another public utility and tax exempt entity pursuing similar objectives to those of the Association. In no cases shall the Association’s assets be returned to the Founders, Members or Board Members or be used for their profit in whole or in part and in whatever manner.
The International Code of Conduct for Private Security Service Providers and its Association
ASSOCIATION MEMBERSHIP REQUIREMENTS
The International Code of Conduct for Private Security Service Providers and its Association
PART 1. MEMBERSHIP IN THE ASSOCIATION

1. A person or entity seeking to become a Member of the Association in accordance with Article 3 of the Articles of Association must meet the criteria for one of the three pillars of membership as set forth in Parts 2, 3 and 4 of this Chapter. Any person or entity may seek to participate as an Observer in accordance with Part 5 of this Chapter.

2. The Secretariat will be responsible for all communications with applicants for membership or for Observer status, and will provide information to applicants or to the Board as set forth in this Chapter.

3. The Secretariat will maintain, and update, an official roster of the Members of the Association, and will make this information public via the Association’s official website.

4. Information provided by applicants shall be treated as confidential information and shall not be shared or distributed except as required by this Chapter. The Secretariat shall take appropriate steps to ensure the adequate protection of applicant information.

5. The proper exercise of the Association’s role and responsibilities depends on the receipt of accurate data from applicants. If an applicant knowingly provides false or inaccurate information with an intent to mislead the Association, the Board, or the Secretariat, the Board may take appropriate action, including rejecting an application or initiating suspension or termination of membership.
PART 2. PRIVATE SECURITY COMPANY MEMBERS

1. An entity seeking membership in the Private Security Company and Private Security Service Provider (PSC) pillar must submit an Application for Membership using official forms authorised by the Secretariat. The Application for Membership shall require, at a minimum, the following:

1.1. A written commitment from the applicant to adhere to the obligations and requirements of the ICoC.

1.2. Acknowledgment and acceptance of the Articles of Association and the procedures and rules adopted by the Association in accordance with those Articles of Association.

1.3. A commitment to obtain or provide evidence of certification in accordance with Article 11 of the Articles of Association, to submit to reporting, monitoring and performance assessments in accordance with Article 12, and to participate in a complaints process in accordance Article 13. This includes acceptance of the corresponding procedures adopted by the Association.

1.4. An agreement to pay assessed Member dues to the Association in a timely manner, including the joining fee assessed at the start of membership.

1.5. Acknowledgement and acceptance that continued membership in the Association is contingent upon meeting and maintaining the obligations and requirements contained in the ICoC, the Articles of Association, and the procedures adopted by the Association.

2. In addition to the Application for Membership, an applicant must submit a Registration Statement providing information about the applicant, its employees, and its activities using official forms authorised by the Secretariat. The Registration Statement shall require, at a minimum, the following:
2.1. Corporate information, including legal form and status, identification of parent and/or subsidiary companies, place of incorporation, location of headquarters and other major offices, and information concerning owners, officers, and directors.

2.2. Public information about the applicant, including copies of recent marketing materials, links to official company websites, and public company annual reports, if applicable.

2.3. Services information for any Security Services as defined in Part B of the ICoC that the applicant currently performs, including types of services provided, location of services by country, and number of personnel.

2.4. Identification of major categories of clients served by industry (e.g., government, shipping, extractive or other)

2.5. Financial disclosures sufficient to determine the proper tier of annual dues the applicant will pay, and to determine the applicant’s financial capacity (e.g., insurance or other) as required by Section 69 of the ICoC.

2.6. Point-of-contact information for the applicant for receipt of written or electronic correspondence from the Association. In addition, if separate, point-of-contact information for the person authorised to vote on behalf of the applicant on Association matters.

2.7. Responses to a series of questions related to the applicant’s present ability to comply with Article 48 of the ICoC.

2.8. Responses to a series of questions regarding whether, in the last five (5) years, (1) the applicant has been subject to any civil or criminal proceedings in connection with human rights abuses that resulted in a conviction or judgment against the applicant or a parent or subsidiary company, or (2) the applicant has engaged with any
non-judicial grievance mechanisms in connection with human rights abuses that resulted in a finding of fault or misconduct involving the applicant or a parent or subsidiary company.

3. Once the applicant becomes a Member, the Registration Statement may be amended or updated by the Member at any time. The Secretariat shall request updated Registration Statements from Members no less than once every three (3) years.

4. An applicant also shall submit with its Application for Membership and Registration Statement a written plan discussing its implementation of the obligations and requirements of the ICoC using forms and guidance authorised by the Secretariat. The plan shall summarise actions already taken as well as steps to be implemented in meeting the obligations and requirements of the ICoC. The plan will specifically identify the following:

4.1. The standard to which the applicant has been or will be certified to demonstrate implementation of the ICoC.

4.2. A summary of the personnel suitability procedures used by the applicant to address Article 48 of the ICoC.

4.3. A summary of the grievance mechanism procedures currently used, or proposed for use, by the applicant in meeting Sections 66 and 67 of the ICoC.

5. The Secretariat shall review the Application for Membership, along with the Registration Statement and Implementation Plan, in accordance with the following:

5.1. The Secretariat shall review the materials to ensure they are complete. Where necessary, the Secretariat may request additional information, clarifications, or corrections.

5.2. The Secretariat shall confirm that the applicant meets the definition of a Private Security Company and that it provides Security Services as defined in Part B of the ICoC.
5.3. The Secretariat shall perform independent due diligence on the applicant to validate the location and existence of the applicant, as well as to identify any publically available information that may relate to the ability of the applicant to meet the obligations and requirements of the ICoC.

5.4. Once the application has been reviewed and verified by the Secretariat, a summary of the application will be sent to the Board for review and approval. The summary will not include confidential information or data and will consist of the following:

5.4.1. Verification that the requirements of this Part have been met by the applicant.

5.4.2. A description of the applicant and its operations

5.4.3. Details regarding the applicant’s Implementation Plan.

5.4.4. Identification of any Secretariat concerns or issues related to the information provided by the Applicant.

5.4.5. The results of the due diligence analysis performed in accordance with Part 5.3.

6. The Board will review and approve or reject the applicant in accordance with the following:

6.1. Prior to review, the Chair of the Board will request that any member of the Board that has an actual or potential conflict of interest in considering an application identify and recuse themselves from review and approval of the application.

6.2. The Board will review the summary of the application, and inform the Secretariat of any requests for additional information, clarifications, or corrections. The Secretariat will work with the applicant to address the Board’s requests.
6.3. Once review is complete, the Board will vote on membership. If the application is approved, the applicant is granted Member status in the Association. If the application is denied, the Board will provide a written explanation to the Secretariat for the rejection, including whether the basis for the rejection may be cured by the applicant. The Secretariat will provide the explanation to the applicant.

7. If relevant national law, privileges, or contractual obligations affect the ability of an applicant to share information required by this Part, the applicant shall identify and explain the restriction and the information that it is unable to provide. The applicant shall work with the Secretariat in order to provide as much information as is possible under the circumstances. Any restrictions identified by the applicant shall be included in the summary of the application prepared by the Secretariat for the Board to review.

8. The Secretariat shall not commence the collection of applications and data under this Part until (1) the Association’s rules on confidentiality and conflict of interest have been approved by the Board in accordance with Section 7.7 of the Articles of Association and have been published to the Members; and (2) the Board has confirmed that the data security plan and procedures implemented by the Secretariat are adequate and operational.

PART 3. CIVIL SOCIETY ORGANISATION MEMBERS

1. A person or entity seeking membership in the Civil Society Organisation (CSO) Pillar must submit a Letter of Application, addressed to the Secretariat, stating its intent to become a member. The letter should include the following:

1.1. A commitment to promote the Purpose of the Association as stated in Article 2.2 of the Articles of Association.
1.2. Acknowledgment and acceptance of the Articles of Association and the procedures and rules adopted by the Association in accordance with those Articles of Association.

1.3. A representation that the applicant is a not-for-profit entity.

1.4. Point-of-contact information for the applicant for receipt of written or electronic correspondence from the Association. In addition, if separate, point-of-contact information for the person authorised to vote on behalf of the applicant on Association matters.

1.5. Information supporting the applicant’s demonstrated institutional record at the local, national, or international level of the promotion and protection of human rights, international humanitarian law, or the rule of law through advocacy or working with and supporting communities that may adversely be affected by the activities of private security service providers, including the organisation’s mission or purpose.

1.6. Information supporting the applicant’s independence from the other Pillars of the Association. Independence shall be assessed by reference to specific, relevant or substantial funding received from members of other pillars for work related to the Purpose of the Association as defined by Article 2.2 of the Articles of Association, or by active working relationships with Members of those Pillars as defined by current or past working relationships within a three year period from date of application.

2. The Secretariat will transmit a Letter of Application for CSO membership to the CSO Members of the Board of Directors, who will conduct a membership decision process in accordance with the following:

2.1. The CSO Board members will circulate the application to the other CSO Members. CSO Members will be given
fourteen (14) days to send comments or questions to the CSO Board members. Comments or questions should focus on whether the applicant meets the CSO membership criteria.

2.2. At the close of the comment period, the CSO Board Members will provide questions or comments to the Secretariat for transmittal to the applicant. The applicant will have fourteen (14) days to provide responses to the comments and questions to the Secretariat. Once received, the responses will be provided to the CSO Board members.

2.3. The CSO Board Members, after consultation with the other CSO Members, will make a final decision by majority vote as to whether the applicant will be admitted as a Member of the CSO Pillar. The Secretariat will notify the applicant of the decision.

2.4. The full Board will be notified of decisions on applications for CSO membership. This will include the grounds for the membership decision, and summaries of comments received and transmitted that are prepared by the Secretariat. Full comments will be preserved in case of a request by an unsuccessful applicant to engage in the review process described in Section 3.

3. The Secretariat shall request updated information upon the one year mark of Membership for each Member. When such new information is received, the process laid out above in 2 – 2.4 will commence anew.

4. An unsuccessful applicant may request a review of a CSO membership decision, with full transparency of all documents transmitted, by submitting a letter to the Chair of the Association Board. The full Board will appoint a group comprised of one representative from each pillar to conduct a review and issue a recommendation to the CSO Board Members. The CSO Board Members will consider the recommendation and then conduct a final vote on the application, after consultation with the other CSO members.
PART 4. GOVERNMENT MEMBERS

1. A state or intergovernmental organisation wishing to join the Association as a Government Member must submit a Letter of Application to the Secretariat stating its intent to become a Member. The letter shall include the following items:

1.1. As specified in Article 3.3.2 of the Articles of Association, a communication of its support of the Montreux Document and of its intent to support the Principles of the ICoC, consistent with national law and policy and to participate in the activities of the Association.

1.2. Acknowledgment and acceptance of the Articles of Association and the procedures and rules adopted by the Association in accordance with those Articles of Association.

1.3. Indication where legal requirements may prevent it from undertaking a specified organisational responsibility set forth in the Articles of Association.

1.4. Consistent with Article 3.3.2 of the Articles of Association, acknowledgment of its intent to provide to the ICoCA information related to its implementation of the Montreux Document in its contracting practices and regulations. This may include reference to laws and regulations which are consistent with the legal obligations and good practices reflected in the Montreux Document. It may also include publicly available contracting procedures, regulations, and instructions which are consistent with the contracted PSCs’ implementation of the General Commitments and Specific Principles (Sections D., E., and F.) of the ICoC.

1.5. Acknowledgment of its intent to communicate annually to the General Assembly in regards to its activities related to Section 1.4.
2. Point-of-contact information for the applicant for receipt of written or electronic correspondence from the Association is to be provided to the ICoCA Secretariat. In addition, if separate, point-of-contact information for the person authorised to vote on behalf of the applicant on Association matters, is to be provided to the ICoCA Secretariat.

3. Governments are not to be subject to an assessment of membership dues or fees, which includes observer fees. Applicants to the Government Pillar, may however, offer voluntary financial support to the Association.

4. Upon receipt of the letter, the Secretariat will confirm that the items listed in Section 1 above have been provided. If not, the Secretariat will work with the applicant to supplement the letter. Once the letter is complete, the Secretariat will forward the letter to the Board for review.

5. The Board will have seven (7) days to review the letter. If the requirements of Section 1.0 have been met, the Board shall grant membership to the applicant for so long as the applicant continues to meet the requirements of Section 1 of the Articles of Association.

PART 5. OBSERVERS

1. A person or entity seeking to become an Observer to the Association must meet the requirements of this Section. Private Security Companies that provide Security Services, as defined in Part B of the ICoC, are not eligible for Observer status.

2. Observers are not Members of the Association, but may participate in the activities of the Association. Such participation is at the discretion of the Board of Directors, and may include the following:

   2.1. Participation in Association meetings, including meetings of the General Assembly.
2.2. Receipt of Association communications, reports, and announcements.

2.3. Participation in Association advisory committees or bodies.

3. Observers may include, but are not limited to, persons or entities falling into any of the following categories:

3.1. Industry associations or security-related professional associations.

3.2. Academics or representatives of academic institutions.

3.3. Government entities or international organisations.

3.4. Commercial clients of private security companies.

3.5. Non-governmental organisations or civil society organisations not eligible for Association membership.

3.6. Business entities or individuals that support the private security industry.

4. An entity or person seeking Observer status must submit an application, using forms authorised by the Secretariat, that contains the following:

4.1. A statement of support for the Purpose of the Association as stated in Article 2.2 of the Articles of Association.

4.2. An explanation of the reason for seeking Observer status, including what they hope to gain from or provide to the Association by participating as an Observer.

4.3. Identifying information, such as name, location, and other information deemed relevant by the Secretariat.

5. In order to reduce costs associated with Observers, the Secretariat shall charge an annual Observer fee to be set and reviewed annually by the Board. The fee may be waived by the Board for specific Observers, in whole or part, for any of the following reasons:
5.1. The entity seeking Observer status is a not-for-profit entity.

5.2. The entity or person has participated or will participate in the activities of the Association to an extent that assessment of the fee is unnecessary.

5.3. The entity or person was invited by the Board to become an Observer.

6. Reviews of Observer applications shall be conducted as follows:

6.1. The Secretariat shall review the application to ensure that it is complete. Where necessary, the Secretariat may request additional information, clarifications, or corrections. Once the application has been reviewed and verified by the Secretariat, it will be sent to the Board for review.

6.2. If the applicant seeks waiver of the Observer dues, the Secretariat shall document the basis for the waiver and provide a statement to the Board as to whether it supports the request.

6.3. Once the Board review is complete, the Board will vote on granting Observer status. If the application is approved, the applicant is granted Observer status in the Association. If the application is denied, the Board will provide a written explanation to the Secretariat for the rejection, including whether the basis for the rejection may be cured by the applicant. The Secretariat will provide the explanation to the applicant.

7. Members of the Advisory Forum of Montreux Document Participants, as defined in Article 10 of the Articles of Association, are granted Observer status in the Association and are not required to pay annual Observer dues.
For all questions concerning the ICoC, the Articles of Association, and membership of the ICoC Association, please contact

This booklet was developed with the support of the Geneva Centre for the Democratic Control of Armed Forces (DCAF; www.dcaf.ch).

ICoC Association, August 2014.

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www.icoca.ch