



ICoCA Certification Process for “ISO 28007” certified companies

APPLICATION FORM & GUIDANCE

This Guidance provides directions and clarifications for Companies certified to “ISO 28007-1 (2015) Ships and marine technology — Guidelines for Private Maritime Security Companies providing privately contracted armed security personnel on board ships” (“ISO 28007”) applying for ICoCA Certification.

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

* * *

Company Name: _____

Primary Point of Contact: _____

Backup Point of Contact: _____

Date Form Completed: _____

**Please note that the Secretariat does not send
confidential or sensitive information via email.**

In order to ensure the security of all data submitted to the ICoCA Secretariat, and until a secured online platform is created, the requested information must be sent in paper form and/or copied on to a USB stick/flashdrive or CD ROM, enclosed in a sealed envelope marked “Confidential, Certification Material,” and sent via DHL, FedEx, or other courier service to:

ICoCA Secretariat, WMO Building
Case Postale 2300, 7 Bis, avenue de la Paix
CH-1211 Genève 2, Switzerland

**Those sending confidential or sensitive information via email
to the ICoCA Secretariat do so at their own risk.**

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Part 1 – KEY ELEMENTS

Overview of the ICoCA Certification Process

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

1. The ICoCA Certification process is the procedure used to certify that the Company’s systems and policies meet the Code’s principles and standards as part of their commitment to operate in accordance with the Code.
2. ICoCA Certification is based on existing national or international standards and processes that are recognised by the ICoCA Board as consistent with the Code (such as ISO 28007), as well as additional information required to meet the principles and standards contained in the Code.
3. As detailed in the [Recognition Statement for ISO 28007](#), the ICoCA has carried out a comparative analysis of ISO 28007 and the ICoC_ in order to assess of the extent to which certification to ISO 28007 covers all the provisions and principles of the Code, and to identify [additional information requirements](#) to be requested by the Board.²
4. The Additional Information Requirements are summarised in table form in Part 3 of this guidance document, along with non-exhaustive, illustrative examples of potential ways companies might satisfy those additional information requirements.
5. The ICoCA will analyse submissions for ICoCA certification in accordance with the process described in the Certification Procedure.³ The information submitted by the Company will only be accessed by the ICoCA Secretariat, following its strict confidentiality and information security policy. The ICoCA Board will not be provided access to confidential information, but will rather receive a summary of the review prepared by the Secretariat.
6. In the event the ICoCA Board requests access to a concrete piece of the information submitted by an applicant, rather than the summary prepared by the Secretariat, the ICoCA Secretariat will seek permission from the Company before disclosing any confidential information.

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

² The “Analysis of ISO 28007 against the ICoCA Certification Assessment Framework” (Annex A) sets out the ICoCA Board of Directors’ analysis of ISO 28007 against the ICoCA Certification Assessment Framework. This analysis has informed the Board’s view on the extent to which ISO 28007 is consistent with the Code. It has further been used to help identify what additional information the Board is requiring from a company certified to ISO 28007 in order for that company to be certified by the ICoCA.

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

Part 2 – APPLICATION FORM

ICoCA Certification for “ISO 28007” certified companies

As a result of the [gap analysis between ISO 28007](#) and the Code, the ICoCA has determined the additional information requirements that are necessary to ensure that the Company's systems and policies meet the requirements of the Code (See [Recognition Statement for ISO 28007 - Annex B: Additional Information Requirement for ISO 28007](#)).

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

Table 1 - Please fill with the requested information

	Information Requested	Documents attached to cover the information requested	Further Information
1	Company's ISO 28007 Certification.		
2	Annexes and Appendices to the Certificate.		
3	Full audit report, and most recent surveillance reports if applicable, subject to any redactions of particularly sensitive information.		
4	Corrective Action Plan and/or Responses by the Company to the non-conformity/ies.		
5	Company's Human Rights Risk Assessment (HRRR) model and/or process.		
6	Employment policies/ processes, which include the relevant specific requirements detailed in Table 2 .		

	Information Requested	Documents attached to cover the information requested	Further Information
7	Reporting policies/ processes/ frameworks, which include the relevant specific requirements detailed in <u>Table 2</u> .		
8	The manner in which the Company's Rules of Use of Force incorporate the principle of proportionality.		
9	Training policies/ materials which include the relevant specific requirements detailed in <u>Table 2</u> .		
10	The Company's grievance mechanism, which include the relevant specific requirements detailed in <u>Table 2</u> .		
11	The manner in which the Company ensures a healthy and safe environment, in absence of such a policy by the Master.		
12	The manner in which the Company reviews and ensures that performance in existing contracts/ new contracts does not/ would not directly and materially conflict with the Code.		
13	The manner in which anti-corruption and bribery standards are included in the Company's programme or policy.		
14	The manner in which, if subcontractors cannot perform the selection, vetting and training procedures required by the ICoC and the standard, the Company ensures that those procedures are conducted in accordance with the Code.		

	Information Requested	Documents attached to cover the information requested	Further Information
15	The manner in which the Company makes sure that the activities to be carried out as part of a contract are not contrary to United Nations Security Council Resolutions.		
16	The manner in which the Company ensures that all vehicles or vessels discharging contractual responsibilities are registered and licensed with relevant national authorities and that they are individually identifiable while on duty.		

Part 3 – GUIDANCE

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

Table 2 – For reference				
	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
1	Company’s ISO 28007 Certification.	-	<ul style="list-style-type: none"> • Provide ISO 28007 certificate. 	The ICoCA needs this information to confirm that the Company has been third-party certified by a Certifying Body (CB) accredited by a national accreditation body that is itself a member of the International Accreditation Forum (IAF) and its Multilateral Agreement (MLA).
2	Annexes and Appendices to the Certificate.	-	<ul style="list-style-type: none"> • Provide Annexes and Appendices to the Certificate. 	The ICoCA will analyse the information to understand the scope of certification and other information highlighted by the CB and to get a comprehensive understanding of the Company’s systems and policies in relation to the Code.

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
3	Full audit report, and most recent surveillance reports if applicable, subject to any redactions of particularly sensitive information.	<p>The audit report should include all detailed areas of concern and non-conformities detected throughout the process. Your company must articulate a specific justification for each redaction explaining why the information is particularly sensitive.</p> <p>The Association will require the full audit report, and most recent surveillance reports if applicable, for an interim period as it assesses what additional information it needs for a determination of compliance with the Code.</p>	-	The ICoCA will use this information, along with that provided in item 4 below, to understand the extent to which the Company has taken steps to fully implement the Code.
4	Corrective Action Plan.	<p>In case areas of concern are resolved through other communication channels (for example through meetings, emails, phone conversations etc.), please provide an explanation or other details.</p> <p>Where applicable, also include any responses from the Certification Body commenting on the adequacy of the Corrective Action Plan (to the extent the issues addressed relate to requirements in the Code).</p>	<ul style="list-style-type: none"> • Provide responses by company and/or the Corrective Action Plan prepared by the Company that relate to areas of concern or non-conformities identified by the Certification Body. 	<p>The ICoCA will use this information to ensure that the final ISO 28007 certification, coupled with additional information provided, ensures that the company's systems and policies meet the Code's principles and the standards derived from the Code.</p> <p>The ICoCA attempts to fully understand the steps taken by a Company to ensure that areas of concern or non-conformities identified by the CB have been remedied (to the extent such areas of concern or non-conformities reflect gaps in compliance with the requirements of the Code).</p>

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
5	Company's Human Rights Risk Assessment (HRRRA) model and/or process.	-	<ul style="list-style-type: none"> Provide the company's written HRRRA and/or HRIA model/process. 	<p>The ICoCA needs this information to be able to assess whether the company has established and maintains a human rights risk assessment methodology in place as a necessary condition to be able to deter, monitor, report, and effectively address adverse impacts to human rights; and to exercise due diligence to ensure compliance with the law and the principles contained in the Code paragraphs 6(d) and 21.</p> <p>The ICoCA will analyse and evaluate the Company's HRRRA.</p>
6	Employment policies/ processes, which include:	<p>a) How the Company includes anti-discrimination, on race, sex, religion, colour, social origin, social status, indigenous status, disability, or sexual orientation in your selection and hiring policies.</p> <p>b) In what manner the Company ensures relevant employment reference materials, such as employment contracts, incorporate the Code and applicable labour law and that all terms and conditions of employment are available to personnel in writing, in a language they can understand.</p>	<ul style="list-style-type: none"> Provide, for instance, the Company's anti-discrimination policy and, where applicable, describe situations where cultural or other difficulties led to approved deviations. Provide, for instance, employment contracts, written job descriptions, or terms and conditions of employment in the operational languages. 	<p>The ICoCA has carried out a comparative analysis between ISO 28007 and the ICoC. These requests for information cover the existing gap between the Code and ISO 28007.</p> <p>The ICoCA will analyse the information provided to assess if the Company's systems and policies meet the requirements of the Code and its readiness to participate in the Association.</p>

	Information requested	Specific requirements	<p style="text-align: center;">Examples</p> <p>The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.</p>	<p style="text-align: center;">Why & What will the ICoCA do with this information?</p>
		<p>c) In what manner the Company ensures that it has an ongoing personnel performance review process which ensures that personnel meet appropriate physical and mental fitness standards and that they are qualified to perform duties in accordance with the principles of the Code.</p>	<ul style="list-style-type: none"> • Provide, for instance, a policy or records of a personnel competency review process; provide forms and checklists that show how procedures for the conduct of competency reviews are carried out. 	
		<p>d) How the Company's policies ensure that no one under the age of 18 is employed to carry out security services.</p>	<ul style="list-style-type: none"> • Provide, for instance, a screening and vetting policy, or an employment checklist, that clearly indicates that no person under the age of 18 should be employed by the Company. 	
		<p>e) The manner in which the Company requires personnel to authorise your access to references in relation to prior employment and available background screening in furtherance of vetting procedures.</p>	<ul style="list-style-type: none"> • Provide, for instance, the model application form or employment contract form whereby the Company requires authorisation from the applicant/employee to allow the Company to access references in relation to prior employment and available background screening as part of the vetting procedures. 	
		<p>f) In what manner the Company ensures the keeping of all personnel records, during and for at least seven (7) years after employment, including not just screening records, but also records from during employment, as well as how these employment records can be made accessible to ICoCA or a Competent Authority, except where prohibited by law.</p>	<ul style="list-style-type: none"> • Provide, for instance, a policy or a description/representation of how records are kept by the Company. 	

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
		f) How the Company's policies ensure that passports, travel documents, and other identification materials are held only for such time as is reasonably necessary for administrative processing.	<ul style="list-style-type: none"> • Provide, for instance, a policy, or terms and conditions of employment that regulate how the Company manages and uses employees' identification documents. 	
		g) How the Company ensures, consistent with applicable national law, that personnel agree to participate in internal and external investigations and disciplinary procedures as well as in any public investigations conducted by competent authorities, except where prohibited by law.	<ul style="list-style-type: none"> • Provide, for instance, the model application form or employment contract form whereby the Company requires applicants/employees to participate in internal and external investigations and disciplinary procedures. 	
7	Reporting policies/ processes/ frameworks, which include:	a) The process by which the Company incorporates in its reporting policies the relevant international humanitarian and human rights law, in particular known or reasonably suspected commissions of national and international crimes such as the ones enumerated in paragraph 22 of the Code: reporting of apprehension; reporting of sexual exploitation or abuse, and gender-based violence; human trafficking, slavery, debt bondage; any use of weapons.	<ul style="list-style-type: none"> • Provide, for instance, the reporting policies or protocols that are followed to report on incidents, which include the elements described in this section. 	

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
		<p>b) How the Company makes sure that these reporting mechanisms comply with all reporting criteria in the Code, including but not limited to written incident reports on international crimes, criminal acts, traffic accidents or incidents involving other security forces.</p>	<ul style="list-style-type: none"> • Provide, for instance, the reporting policies or protocols that are followed to report on incidents, which include the elements described in this section. 	
		<p>c) How the Company makes sure that, in each case, these reports are issued to the client and to the competent authorities and that information on reports include the nationality of the persons involved, as well as their addresses and contact details.</p>	<ul style="list-style-type: none"> • Provide, for instance, the reporting policies or protocols that are followed to report on incidents, which include the elements described in this section; or a model contract with a Company's client. 	
8	The manner in which the Company's Rules of Use of Force incorporate the principle of proportionality.	-	<ul style="list-style-type: none"> • Provide the Company's Rules of Use of Force. 	
9	Training policies/ materials which include:	<p>a) The manner in which you provide training to your personnel on the Code and all its human rights and international humanitarian law elements. This should include in particular the international standards on use of force, detention, apprehension and anti-corruption.</p>	<ul style="list-style-type: none"> • Provide, for instance, the list and description of training courses or the policies that regulate the provision of personnel's training and include the competency elements mentioned in this section. 	

	Information requested	Specific requirements	<p style="text-align: center;">Examples</p> <p>The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.</p>	<p style="text-align: center;">Why & What will the ICoCA do with this information?</p>
		<p>b) The manner in which awareness of the specific Human Rights/Prohibited Practices described in paragraphs 22 and 23 of the Code is ensured, including training on the use of the company's mechanisms to report known or reasonable suspicion of the commission of any of the acts identified in paragraphs 22 and 23 of the Code.</p>	<ul style="list-style-type: none"> • Provide, for instance, the list and description of training courses or the policies that regulate the provision of personnel's training and include the competency elements mentioned in this section. 	
<p>10</p>	<p>The Company's grievance mechanism, which includes:</p>	<p>a) How the scope of the grievance mechanism includes violations of the Code and human rights within the company. And how records of allegations, findings and disciplinary measures are kept, also for violations of the Code.</p>	<ul style="list-style-type: none"> • Provide the Company's grievance and complaints policies and, for instance, a description/ representation of how records are kept by the Company. 	
		<p>b) How the principle of 'fairness' is included in the requirements for grievance mechanism and how allegations are investigated promptly.</p>	<ul style="list-style-type: none"> • Provide the Company's grievance and complaints policies. 	
		<p>c) How the Company's grievance process is published on a publicly accessible website.</p>	<ul style="list-style-type: none"> • Provide a link towards the relevant page on the Company's website. 	
		<p>d) The manner in which the Company coordinates/ organises the reception and management of grievances by third parties with the Company's client.</p>	<ul style="list-style-type: none"> • Provide the Company's grievance and complaints policies or other documents that show the relationships and commitments between your company and its client regarding their reception and reporting of grievances. 	
		<p>e) How the requirement to refrain from impeding witnesses and testimonies and investigations is included into the Company's grievance procedure.</p>	<ul style="list-style-type: none"> • Provide the Company's grievance and complaints policies. 	

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
11	The manner in which the Company ensures a healthy and safe environment, in absence of such a policy by the Master.	-	<ul style="list-style-type: none"> Provide the Company's Health and Safety policy or other documents that reflect how your company ensures the application of your health and safety policy in the absence of one enforced by the Master. 	
12	The manner in which the Company reviews and ensures that performance in existing contracts/ new contracts does not/ would not directly and materially conflict with the Code.	-	<ul style="list-style-type: none"> Provide a policy, risk management policy, a HRRRA, or a description of a performance review associated with given projects that show the manner in which the company assesses whether the execution of a contract could conflict with the Code. 	
13	The manner in which anti-corruption and bribery standards are included in the Company's programme or policy.	-	<ul style="list-style-type: none"> Provide the Company's anti-corruption and bribery policy, or a representation/ description on how anti-corruption and bribery standards are including in the management system of the Company. 	

	Information requested	Specific requirements	Examples The requested information can be covered by providing the following elements. This list is non-exhaustive, and for illustrative purposes only.	Why & What will the ICoCA do with this information?
14	The manner in which, if subcontractors cannot perform the selection, vetting and training procedures required by the Code and the standard, the Company ensures that those procedures are conducted in accordance with the Code.	-	<ul style="list-style-type: none"> Provide, for instance, the policy or model contract the Company uses to require subcontractors to carry out vetting and screening in a manner that is consistent with the Code and the Company's own policies, along with an explanation of how the Company monitors compliance with this requirement. 	
15	The manner in which the Company makes sure that the activities to be carried out as part of a contract are not contrary to United Nations Security Council Resolutions.	-	<ul style="list-style-type: none"> Provide, for instance, a policy, risk management policy, a HRRRA associated with given projects that show the manner in which the company assesses whether the execution of a contract could conflict with UN Security Council Resolutions. 	
16	The manner in which the Company ensures that all vehicles or vessels discharging contractual responsibilities are registered and licensed with relevant national authorities and that they are individually identifiable while on duty.	-	<ul style="list-style-type: none"> Provide, for instance, the policy, procedures or relevant licensing systems. 	