

ICoCA Certification Process for “ISO 18788” certified companies

APPLICATION FORM & GUIDANCE

Company Name: _____

Primary Point of Contact: _____

Backup Point of Contact: _____

Date Form Completed: _____

This Guidance provides directions and clarifications for companies certified to ISO 18788:2015 “Management system for private security operations - Requirements with guidance for use” (“[ISO 18788](#)”) applying for [ICoCA Certification](#).

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

Part 1 - KEY ELEMENTS

Overview of the ICoCA Certification Process

The Association processes ICoCA Certification applications in accordance with the principles established in the [Articles of Association](#) and the [ICoCA Certification Procedure](#). The following questions and answers will guide you step-by-step through the ICoCA Certification Process:

1. What is ICoCA Certification?

- ICoCA Certification is the procedure used to certify that your systems and policies meet the Code’s principles and standards as part of your commitment to operate in accordance with the [Code](#) (“ICoC” or “International Code of Conduct”).
- ICoCA Certification requires external certification to one of the **national and international standards** that are recognised by the Board as consistent with the Code: **ISO 18788**, but also PSC.1 and ISO 28007.
- For each Board-recognised standard, the ICoCA defined **additional information** relative to human rights and humanitarian law which is needed to assess whether your systems and policies meet the requirements of the Code.¹

¹ The ICoCA has carried out a comparative analysis of ISO 18788 and the ICoC in order to assess of the extent to which certification to ISO 18788 covers all the provisions and principles of the Code, and to identify additional information requirements to be requested by the Board. These requests for information cover the existing gap between the Code and ISO 18788 and are called “additional information”. The results of the comparative analysis are available in the [Recognition Statement for ISO 18788](#) and its corresponding annexes [A](#) and [B](#).

2. Are you eligible for ICoCA Certification?

In order to apply for ICoCA Certification, Member Companies need to fulfil the following conditions:

- **Be certified to ISO 18788.**²
- Having obtained the certification from an independent accredited Certification Body (CB).³
 - To ensure that the certification issued is valid, you can either ask the Certification Body about their certificate of accreditation from UKAS or ANAB to ISO 18788, or ask the Secretariat for additional information.
 - There is **no charge for ICoCA Certification** in addition to regular annual Membership dues. However, please keep in mind that Member Companies need to cover their **own costs related to their external certification** to ISO 18788 by an accredited independent Certification Body.

3. What information and documentation do you need to submit when applying for ICoCA Certification?

- Please **consult the form** in [Part 2](#) of this document to receive **guidance** on the information and documentation that you must provide to demonstrate that your company meets the requirements of the Code.
 - The table will help you understand the additional information requirements requested and also provides examples of documentation that your company could potentially provide to satisfy them (the list of examples is non-exhaustive and for illustrative purposes only).
- Afterwards, please **fill in the form**, also in [Part 2](#), to complete your ICoCA Certification application.
 - The ICoCA Secretariat wants to understand **how your company implements and integrates the principles of the Code into your operations, systems and procedures.**
 - You do not need to provide many documents, just the ones that reflect how your company implements the specific requirement. It is possible that several requirements will be answered by the same document or policy.

² If you are certified to another Board-recognised standard (PSC.1 or ISO 28007), please consult and fill the corresponding form which is available [on the ICoCA website](#).

³ The current list of the independent accredited Certification Bodies that are certifying to Board-recognised standards is available on the [ICoCA website](#) (Currently only [Intertek](#), [IQ Verify](#) and [MSS Global](#) issue independent accredited certification to ISO 18788).

- The ICoCA will analyse the information provided to assess if your systems and policies meet the requirements of the Code and the readiness of your company to fully participate in the activities of the Association.
- If your company is externally certified to **more than one** Board-recognised standard (PSC.1, ISO 18788 and/or ISO 28007), you **do not need** to fill in several application forms to apply for ICoCA Certification.

4. How can you submit your ICoCA Certification application?

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.

5. After submission of the ICoCA Certification application form, what is the review process?

- a) Once your completed application is received, the Secretariat will confirm reception;
 - b) The Secretariat then reviews your application and the documents provided;
 - c) Once the application has been reviewed, the Secretariat may request further clarification or documentation;
 - d) Once the Secretariat has determined that the application is complete, their recommendation with a summary of the application (excluding any confidential information) will be shared with the ICoCA Board of Directors;
 - e) The ICoCA Board of Directors may request further details, and then vote to approve or reject the application for ICoCA Certification.
 - f) Once the Board has granted your company “ICoCA Certification”, you will become an **ICoCA Certified Member**.
- Provided that you answer in a timely manner to the request for additional information or clarification, the Secretariat anticipates that the entire process may take up to **one or two months** until a final decision is taken.

Part 2 – APPLICATION FORM
ICoCA Certification application form for “ISO 18788” certified companies

	Information requested	Examples of relevant documentation To be provided to cover the requested information. List is non-exhaustive , for illustrative purposes only.	Specific requirements	Please <u>fill in the requested information</u> in the space below & <u>attach</u> the corresponding documentation
1	<ul style="list-style-type: none"> • Company’s proof of ISO 18788 Certification; • including annexes and appendices to the Certificate, if applicable. 	<ul style="list-style-type: none"> • Provide ISO 18788 certificate; • Provide Annexes and Appendices to the Certificate, if applicable. 	<p>The scope of ICoCA Certification is based on the concrete areas where your company operates, and not on general regions (“<i>Worldwide</i>”) or wider regions or areas where your company might potentially have operations in the future.</p> <p>⚠ Please provide the exact locations that are included in the scope of your ISO 18788 Certification.⁴</p> <p>⚠ If the company has subsidiaries, please specify whether they are included in the scope of the ISO 18788 certification.</p>	
2	<ul style="list-style-type: none"> • Full initial audit report (Stage 1 and Stage 2); • Most recent surveillance reports, if applicable - subject to any redactions of particularly sensitive information; and • Corresponding Corrective Action Plan(s). 	<ul style="list-style-type: none"> • Provide the initial, and most recent audit reports if applicable; • Provide responses by company and/or the Corrective Action Plan prepared by your company that relate to areas of concern or non-conformities identified 	<ul style="list-style-type: none"> • The audit report should include all detailed areas of concern and non-conformities identified throughout the process. Your company must articulate a specific justification for each redaction explaining why the information is particularly sensitive. • The ICoCA attempts to fully understand the steps taken by a company to ensure that areas of concern or non-conformities (which might reflect gaps in compliance with requirements of the ICoC) identified by the CB have been remedied (to the extent such areas of concern 	

⁴ Companies are invited to add areas to the scope of ICoCA Certification at any time, by providing evidence of the appropriate inclusion of those areas into the scope of their external certification to a given Board-recognised standard (i.e. audit reports, annexes to the certificate, certification plans, etc.) to the Secretariat.

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		by the Certification Body.	or non-conformities reflect topics relevant to the ICoC).	
3	Company's Human Rights Risk and Impact Assessment (HRRIA) model and/or process.	Provide your company's written HRRIA model/template/process; or an example of an existing HRRIA for one of the company's operations.	Companies are expected to provide a template, an existing HRRIA process or examples that reflect: <ul style="list-style-type: none"> The methodology used by your company when developing the human rights risks assessment process (including personnel involved, operational focus, circumstances and frequency of HRRIA, risk mitigation measures and subsequent revisions, etc.). The due diligence applied to ensure compliance with the law and the principles contained in the ICoC (which principles and/or rights are assessed?). 	
4	Employment documentation which includes the following specific requirements:		Please provide one or more documents to reflect the requirements below:	
	a) How your company ensures that relevant employment reference materials incorporate the ICoC and applicable labour law;	Provide, for instance, one or more of the following: employment contracts; written job descriptions; terms and conditions of employment; or other reference documents describing the conduct of personnel.	The document(s) shall reflect how your company includes references to the ICoC and its principles into employment materials that are references for personnel on how they are expected to conduct themselves in operations when working for your company.	
	b) How your company ensures that its personnel agree to participate in company's internal and external investigations, disciplinary procedures and any public	Provide, for instance, one or more of the following: a model application form; an example of an employment contract; a consent form; an attestation form; terms and conditions of employment; or your	The document(s) shall reflect how your company ensures that applicants/employees are made aware of, and agree to, their participation in company's internal and external investigations; disciplinary procedures; and/or public investigations conducted by Competent	

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	investigations conducted by Competent Authorities, except where prohibited by law;	company's grievance procedure.	Authorities - if necessary, consistent with national law and except where prohibited by law.	
	c) How your company ensures that employment records are accessible to a Competent Authority or the ICoCA, except where prohibited by law.	Provide, for instance, one or more of the following: an employment process and/or policy; employment contracts; terms and conditions of employment; an information and security policy; a data protection policy or similar; or other reference documents describing the expected conduct of personnel.	The document(s) shall reflect how your company ensures that employment records are made available to a Competent Authority or the ICoCA - where necessary (for example for the purpose of an investigation), except where prohibited by law and while taking into consideration confidentiality and data protection requirements.	
5	How your company provides training to its personnel on the ICoC and its fundamental principles.	Provide, for instance, one or more of the following: the training policy; a list of training courses and description of the programmes; training and competency registers; training record forms; or training materials (PPT, memos, etc.).	The document(s) shall reflect how your company provides initial and recurrent training to its personnel on the fundamental principles of the ICoC, and as most relevant in the operating context(s).	
6	How your company makes sure that the activities to be carried out as part of a contract are not contrary to United Nations Security Council Sanctions.	Provide, for instance, one or more of the following: a risk management policy; a general or commercial risk assessment; a HRRIA associated with given projects that show the manner in which your company assesses whether the execution of a contract could conflict with UN Security Council sanctions; or a procurement policy and procedures.	The document(s) shall reflect how your company ensures that its operations, clients, partners, procurement practices -and any other aspects related to its activities in a certain country- are not violating United Nations Security (UNSC) sanctions (for example, how your company ensures it does not violate an arms embargo or that it does not contract with a sanctioned individual). The list of UNSC sanctions is available here for information.	

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7	How your company will report - and will require its personnel to report- any known or reasonable suspicion of the commission of any national and international crimes to one or more of the types of Competent Authorities specified in the ICoC.	Provide, for instance, one or more of the following: your company's reporting policies; your company's grievance procedure; or other internal procedures that reflect how these reporting obligations are implemented.	<p>The document(s) shall reflect how your company and its personnel report national or international crimes to Competent Authorities (including whenever personnel witnessed national or international crimes).</p> <p>For more information on reporting to Competent Authorities, please refer to the guidance drafted by ICoCA on how to establish an effective Company Grievance Mechanism: the Manual explains how to use the Guidance and offers a checklist; and the Interpretative Guidance provides further information, including explanations and good practices.</p>	
8	For companies that are formally authorised to assist in the exercise of a state's law enforcement authority: how your company ensures that its use of force or weapons policy complies with: <ul style="list-style-type: none"> ▪ all national and international obligations applicable to regular law enforcement officials of that State; ▪ and, as a minimum, with the UN Principles on the Use of Force and Firearms by Law Enforcement Officials. 	Provide, for instance, one or more of the following: your company's Rules on the Use of Force; your company's standard operating procedure (SOP); another internal policy that reflects compliance with national and international obligations applicable to law enforcement operations; or a confirmation that your company does not conduct law enforcement operations.	<p>The document(s) shall reflect that companies conducting law enforcement operations should, at a minimum, comply with all national and international obligations applicable to regular law enforcement officials.</p> <p>The ICoC also mentions in paragraph 32 that the United Nations Principles on the Use of Force and Firearms by Law Enforcement Officials (1990) (available here for information) are a minimum standard for companies assisting in the exercise of state's law enforcement authority.</p>	