

*A joint Approved Security Industry Association initiative*

**Queensland Office of Fair Trading**

**Approved Security Industry Association  
Code of Conduct**

**Audit Compliance Guide**

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## Part 1: Statutory Compliance Audit Overview

### Background

Amendments to the *Security Providers Act 1993*, which came into effect in February 2011, provided a role for peak security industry bodies to take on a compliance role to assist the Office of Fair Trading in its regulation of the private security industry in Queensland.

To facilitate this initiative, the Act now requires all security firms to be a member of an approved security industry association. An ASIA is required to adopt a Code of Conduct which must include the minimum Code of Conduct which has been approved by the Chief Executive under the Act as well as any additional items adopted by the ASIA.

As a condition of approval as an ASIA, the ASIA must provide a range of services to its members as well as assessing the security firm's compliance with the Code at least once every 3 years. This guide has been developed to assist an ASIA to consistently assess a firm's compliance with the Code as required under schedule 1A of the Regulations (S11). This can also be used by the firm to self assess their compliance with the Code.

### Audit Compliance Guide

The Code of Conduct adopted by the ASIA has been designed to require security firms to conduct their activities in a manner which:

- (a) Promotes consumer and community confidence:
- (b) Promotes the safety of the community and employees:
- (c) Promotes ethical and professional conduct; and
- (d) Promotes compliance with applicable state and federal legislation.

Failure to comply with the Code may result in the suspension or cancellation of the security firm's membership. As membership of an ASIA is condition of the firm's licence, failing to maintain a membership may result in cancellation of the security firm's licence

This audit compliance guide has been developed for use by all ASIAs and their security firm members.

The operation of this Guide will be reviewed from time to time in consultation with the ASIAs to ensure it remains relevant and effective.

### Definitions

For the purposes of this Guide, the following definitions will apply:

“*Act*” means the *Security Providers Act 1993*.

“*ASIA*” means Approved Security Industry Associations as approved by the Chief Executive for the purposes of the Act

“*Code of Conduct*” includes the Code of Conduct as approved by the Chief Executive under section 8 of the Schedule and any supplementary matters as required by an ASIA

“*Firm*” means the licensed security firm under the *Security Providers Act 1993*

“*Guide*” means the OFT- ASIA Code of Conduct Audit Compliance Guide.

“*OFT*” means the Queensland Office of Fair Trading

“*ILU*” means the Industry Licensing Unit with OFT.

“*Regulation*” means the *Security Providers Regulation 2008*.

### Stakeholders

The key stakeholders to this Guide are working in a co-regulatory environment with a common goal of ensuring the highest levels of professionalism and ethics apply uniformly across the security industry by implementing compliance assessments, complaints management and educational processes.

The stakeholders to this Guide include the following:

### **Office of Fair Trading - Industry Licensing Unit.**

All applicants for ASIA status are required to meet the requirements of the Act and, in particular, the Regulation, to be granted approval. Ongoing monitoring of continued eligibility will be conducted on a routine basis thereafter.

### **Approved Security Industry Associations (ASIAs)**

The Chief Executive will accredit a number of industry associations as 'approved security industry associations' for the purpose of security firms joining an ASIA as a condition of their licence.

The role of the ASIAs is to provide a co-operative interface between OFT and security firms in promoting industry professionalism, and improve service delivery to the highest standard.

There is an obligation upon ASIAs to promote to their members compliance with the Act, the Regulations and attendant legislation.

ASIAs are required to conduct a compliance assessment of each of their security firm members as stipulated by the Regulation.

ASIAs are to work with security firms to remedy non-compliance issues and to educate, assist and develop industry professionalism, ethics and service delivery.

Non-compliance with the regulatory regime may lead to expulsion from an ASIA and resulting in the possible cancellation of a security firm's licence by OFT.

ASIA's are required to forward a report to OFT on a monthly basis detailing security firms whose membership has been terminated or who have resigned from the association.

ASIAs are also charged with the investigation of complaints directed against their security firm licence members.

ASIA's have an obligation under the Act, Regulation and Compliance guide relating to the conduct of their organisation.

### **Security firms (the Firm)**

It is the responsibility of the firm to ensure all of the conditions set out in the Act and the Regulation are complied with, together with the ordinary conditions of their membership with an ASIA.

Firms have obligations under the Act, Regulation and this Guide relating to the conduct of their security operations and must join and retain membership of an ASIA.

### **Office of Fair Trading (Fair Trading Queensland)**

The Office of Fair Trading is responsible for monitoring the effectiveness of the Act, the Regulation and the performance of ASIAs.

### **Licensing**

All persons carrying out for reward the function of a security provider, as outlined in the Act, must be licensed in accordance with the Act and Regulation.

### **Relevant laws and best practice industry standards**

This Guide should also be read in conjunction with other relevant acts of Parliament, Industry Standards and protocols which impact directly upon the security industry.

# Security firm obligations

## General Requirements

Security firms are required to:

- comply with the Act and the Regulation, Security Firm Code of Practice Regulation 2008, Crowd Controller Code of Practice Regulation 2008, Security Officer - Licensed Premises - Code of Practice Regulation 2008 as well as this Guide;
- comply with all federal, state and local government statutes relevant to the conduct of that business;
- conduct their business in compliance with and in the spirit of this Guide;
- ensure that all persons performing licensed security activities or support functions do so in a manner that promotes the professional image of the security industry;
- acknowledge that security firms are accountable to the ASIA for the professional conduct of their employees; and
- apply for and retain current membership of an ASIA.

## Membership with ASIAs

A security firm is only required to be a member of one approved security industry association. However, this does not restrict a security firm from being a member of other associations.

## Co-operation with ASIA's

Firms will co-operate fully and openly with their ASIA auditor in compliance auditing by providing all records and information required for the auditor to complete the assessment.

## Service to Clients

Firms need to have in place a system of ensuring services are delivered to customers according to their contractual and legal obligations and relevant industry standards.

## Use of Firearms

Firms who maintain firearms as a legitimate requirement of their business will observe all requirements of the relevant legislation relating to firearms.

## Training

Firms should ensure that all licensed employees receive relevant training by a registered training organisation to enable them to carry out their duties in a professional and competent manner.

Licensed employees should be employed only on duties consistent with their level of competence and training and their performance monitored to ensure that they continue to maintain that level of competence.

## Equipment

Firms should ensure that all equipment used by an employee at all times:

- conforms to relevant occupational health and safety legislative requirements;
- is mechanically and operationally sound; and
- is operated and serviced in accordance with manufacturer's specifications.

## Wages and Conditions of Employment

Firm employers must be aware of their need to comply with all relevant state and federal industrial instruments applicable to licensed security employees.

## **Business/Administrative Records**

Firms must collect and maintain business and administrative records as required by:

- the Act and the Regulation;
- the Corporations or Incorporated Association legislation; and
- their respective ASIA.

## **Insurance**

Firms should maintain relevant insurance for the business in the capacity in which it is operated.

## **Membership/Licence Certificates**

Firms should display prominently within their business premises or produce on request of an authorised officer the licence issued by the Office of Fair Trading and their ASIA membership certificate.

## **Employment Records**

Firms must keep a register (electronic or otherwise) of security providers engaged by the security firm.

Employment records should contain details of the licensee's name, licence number, address, award rate, licence expiry date/s, the date of commencement and date the engagement ends and any other relevant particulars.

## **Membership with Multiple ASIAs**

Firms who are members of more than one approved security industry association are only required to supply certificate of compliance from one ASIA as evidence of an audit being completed. However, it will be up to the individual ASIA as to whether they will accept an audit conducted by another ASIA as satisfactory evidence of compliance with their code of conduct, or whether they will require a further audit to be conducted to satisfy the requirements of the Regulation.

# **Approved Security Industry Association Obligations**

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## **Co-regulation**

### **Assessment of members**

ASIAs will carry out an assessment of members to ascertain their eligibility and suitability to become members.

Such assessment criteria might include, but may not necessarily be limited to the following:

- (e) full disclosure of information required within the ASIAs membership application form;
- (f) provision of contact details of referees' who can attest to the applicant's good character and suitability to provide security services;
- (g) provision of current insurance policies as required for public liability, workers compensation, accident & illness (sole trader) and professional indemnity (if required by the individual ASIAs requirements for membership);
- (h) provision of evidence of licences and appropriate qualifications (if applicable) held by the applicant that would confirm eligibility to carry on a security business; and
- (i) provision of a statement that the security firms premises, business systems, installations comply with all relevant state and federal laws.

### **Compliance Audits objective**

Compliance audits are designed to assess each firm's compliance with the association's code of conduct and other related responsibilities and obligations.

Compliance audits will be carried out in respect to complaint investigations as determined by the ASIA.

ASIA's must conduct a compliance audit of each relevant member of the Association

- (a) initially within 3 years of the member becoming a member of the association, and;
- (b) at least once every three (3) years from the date of each audit conducted

If a firm is a member of multiple ASIA's, acceptance of an audit conducted by another ASIA for compliance with their code of conduct is sufficient to comply with this requirement (section 11(1) (e) and (f)).

### **Compliance Auditing Methodology**

ASIAs are to require agreed compliance auditing methodology for auditors when conducting their assessments. This will require compliance auditing forms which contain general compliance points but also provide flexibility to ASIAs to develop additional sector specific compliance requirements.

Additionally,

#### **(a) Acknowledgement of Compliance**

ASIAs should provide an acknowledgment of Compliance to all security firms who have successfully completed a compliance assessment. The compliance acknowledgment is valid at the date of issue.

#### **(b) Non-compliance**

Non complying security firms will be required to rectify all identified non compliance issues within a reasonable time from the date of notification or a period as specified by the ASIA. Firms should provide evidence of compliance to the ASIA or where necessary, undergo a validation compliance assessment to review the non compliance issues identified to ensure their rectification to the satisfaction of the ASIA.

### **Compliance Auditing Criteria**

ASIAs are to use the minimum agreed compliance auditing criteria/checklist for auditors to use when conducting their audits.

The criteria is to accords with the Statutory Compliance Audit Form of this Guide. These criteria are the minimum requirements for compliance auditing criteria.

Security function-specific criteria are to be collectively developed by ASIAs in consultation with the industry.

Desktop audits are sufficient to meet the audit requirement for the purposes of this guide.

### **Complaints Management Policy**

The complaint management policy must describe how an ASIA will deal with complaints promptly and fairly, and make every reasonable effort to resolve complaints about a member. The complaint management policy must also be available to the association's members and the general public. Complaints may be lodged by members of the public, aggrieved clients, patrons at venues, householders, industrial trade unions and security industry employees and employers.

### **Privacy**

Information collected by ASIAL from members for audit purposes will be kept confidential and will not be used for any other reason other than for the purpose the information was collected for and will not be disseminated to any other party.

ASIAL members, sub-contractors, individual employees and customer privacy will be respected in all dealings with Firms, complying with the requirements of privacy legislation.

***PLEASE KEEP THIS GUIDE FOR YOUR FUTURE REFERENCE.***

## Part 2: STATUTORY COMPLIANCE AUDIT FORM

### Security Firm Declaration

I have read and understand my obligations under the *Security Providers Act*, *Security Providers Regulation* and Code of Practice and will ensure compliance by myself, company directors, close associates, administrative and licensed staff.

I agree to be bound by the conditions of membership in full and undertake to make my premises and records available for an independent compliance inspection if and when required.

Name of Authorised Representative completing Statutory Compliance Audit Form:	
Position:	
Company name:	
ABN:	____ / ____ / ____
Registered business name as per security firm licence:	
Name under which the security firm licence is issued:	
Security firm licence number:	
Date of licence expiry:	
Annual turnover (\$) of security business in QLD:	
Number of employees in QLD:	
Signature:	
Date:	____ / ____ / ____



**Q1: Compliance Criteria: Services Provided**

What security activity(s) does your firm provide? (Please place a large 'X' next to the appropriate activities that are contracted.)		
1.	Monitoring services (Class 1 activity)	
2.	Bodyguard services	
3.	Unarmed security guard services	
4.	Cash-in-transit	
5.	Guard dog services	
6.	Mobile patrols	
7.	Crowd control	
8.	Private Investigators	
9.	Access Control	
10.	Locksmith services	
11.	Closed circuit television systems (CCTV)	
12.	Commercial, residential & industrial alarm installation	
13.	Safes and record protection	
14.	Security Alarm and Equipment sales	
15.	Security consultancy - licensed	
Other– please specify:		
:		

**Q2: Compliance Criteria: Licence Certificates**

a	The firm displays a Licence Certificate or produces a licence on request at the business premises.	<input type="checkbox"/> Yes <input type="checkbox"/> No
b	The firm complies with all conditions on the Licence.	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Q3: Compliance Criteria: Availability of legislation on premises**

a	The firm keeps a copy of, or provides online access to, the <i>Security Providers Act 1993</i> and <i>Security Providers Regulation 2008</i> at the business premises.	<input type="checkbox"/> Yes <input type="checkbox"/> No
b	The firm keeps copies of, or provides online access to, relevant Codes of Practice at the business premises.	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Q4: Compliance Criteria: Licence records**

a	The firm has an administrative process in place that maintains copies of the licence and licence expiry dates for each licensed employee of the firm and/or the firm owner.	<input type="checkbox"/> Yes <input type="checkbox"/> No
b	The firm has an administrative process in place that maintains copies of qualifications held by each licensed employee of the firm and/or the firm owner.	<input type="checkbox"/> Yes <input type="checkbox"/> No

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c	The firm regularly reviews licence details of each licensed employee of the firm and/or the firm owner AND ensures that licensees renew their licences in a timely manner - to ensure that they are always operating with a current and relevant licence eg: licence is not suspended or cancelled.	<input type="checkbox"/> Yes <input type="checkbox"/> No
d	The firm ensures licensed employees of the firm and/or the firm owner only perform duties permitted by their licence.	<input type="checkbox"/> Yes <input type="checkbox"/> No
e	The firm continually monitors the performance of licensed employees to ensure that they carry out their duties in a lawful and competent manner.	<input type="checkbox"/> Yes <input type="checkbox"/> No
f	The firm is aware of all legal obligations regarding supervision of restricted licensees.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

**Q5: Compliance Criteria: Regulatory requirements**

a	The firm is aware that it must notify the Office of Fair Trading of any change in any of the particulars in respect to a security provider's licence (including any change of address) within 7 days of the change.	<input type="checkbox"/> Yes <input type="checkbox"/> No
b	The firm ensures employees engaged in security licensed services comply with their individual licence conditions and obligations as defined by the <i>Security Provider Act 1993</i> and <i>Security Providers Regulation 2008</i> .	<input type="checkbox"/> Yes <input type="checkbox"/> No
c	Does the firm engage in false, misleading or deceptive conduct in its dealings as a firm?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Q6: Compliance Criteria: Remuneration (wages and conditions)**

a	Does the firm engage employees?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>If your answer to Q6(a) is YES, please complete statements (b), (c) and (d) below.</b> <b>If your answer to Q6(a) is NO, go to 7(a).</b>		
b	Do firm employees pay and conditions conform to the relevant award, approved enterprise or workplace agreement?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c	Does the firm make available to all employees a copy of the relevant award or Workplace Agreement?	<input type="checkbox"/> Yes <input type="checkbox"/> No
d	Does the firm keep relevant records for employees in relation to time worked and wages paid?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Q7: Compliance Criteria: Workplace Health and Safety**

a	The firm complies with the Queensland <i>Workplace Health and Safety Act 2011</i> and <i>Workplace Health and Safety Regulations 2011</i> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b	Does the firm have a current Workplace Health and Safety policy which is updated as required?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c	Does the firm provide first aid facilities to all persons involved in the firm	<input type="checkbox"/> Yes <input type="checkbox"/> No
d	Does the firm maintain a register of Workplace Injuries?	<input type="checkbox"/> Yes <input type="checkbox"/> No

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**Q8: Compliance Criteria: Complaints Management**

a	Does the firm have a complaints management policy in place?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b	Are complaints dealt with by the firm in a timely manner?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c	Does the firm actively engage in the resolution of complaints made?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Q9: Compliance Criteria: Records**

<b>a</b>	<b>What is the structure of the firm's business?</b>	
i.	Sole trader – ie: not in partnership or incorporated as a company.	<input type="checkbox"/> Yes <input type="checkbox"/> No
ii.	Partnership – ie: carrying on your business together with another person or people, but not as a corporate entity.	<input type="checkbox"/> Yes <input type="checkbox"/> No
iii.	Corporate entity – ie: corporation.	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>b</b>	<b>Is the firm's licence held in the current name of the trading entity?</b>	
i.	Does the firm have an Australian Business Number (ABN)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
ii.	Does the corporation have the appropriate registration with Australian Securities and Investments Commission (ASIC) – if applicable?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>c</b>	<b>Administrative records:</b> The Firm keeps the following administrative records.	
i.	Current Workers Compensation Insurance Policy.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
ii.	Wages.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
iii.	Holiday leave entitlements.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
iv.	Long Service Leave entitlements.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
v.	Superannuation – Making contributions to a complying superannuation fund on behalf of eligible employees.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
vi.	Employee Taxation Declaration Forms.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
vii.	Has a current Public Liability Insurance Policy.	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>d</b>	<b>Business records:</b> The firm maintains the following business records.	

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i.	Cash payments (all methods of payment including EFT, Bpay)	<input type="checkbox"/> Yes <input type="checkbox"/> No
ii.	Debtors ledger	<input type="checkbox"/> Yes <input type="checkbox"/> No
iii.	Creditors ledger	<input type="checkbox"/> Yes <input type="checkbox"/> No
iv.	Invoicing	<input type="checkbox"/> Yes <input type="checkbox"/> No
v.	Banking records	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Q10: Compliance Criteria: Use of firearms (Only applies to Firm who uses firearms. If not applicable please go to Q11).**

<b>a</b>	<p><b>Does the security firm use firearms in the course of their business?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> <p>If the firm's answer is <b>No</b> or <b>N/A</b>, then the firm is not permitted to use firearms in the course of their business and the following statement is not required to be completed, <b>go to Q11</b>.</p>		
i.	The firm keeps a copy of the security licence (endorsed with cash in transit) under the Weapons Act 1990 at the business premises.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
ii.	<i>Weapons Act 1990 &amp; Weapons Regulation 2016</i> – The firm maintains security organisation register as required under section 126 of the <i>Weapons Act 1990</i> .	<input type="checkbox"/> Yes	<input type="checkbox"/> No
iii.	Does the firm comply with Federal Government Requirements (AUSTRAC).	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>b</b>	<p><b>Is the firm or any of its employees licensed under the <i>Weapons Act 1990 &amp; Weapons Regulation 2016</i> to hold firearms as part of the Security firm Licence (cash in transit) activities?</b></p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
i.	The Firm keeps copies of the <i>Weapons Act 1990 &amp; Weapons Regulation 2016, Weapons Categories 1997</i> or provides online access to other legislative instruments at the business premises.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
ii.	The firm complies with all requirements of the <i>Weapons Act 1990 &amp; Weapons Regulation 2016</i> in respect to use, safekeeping, maintenance, licensing, controls, etc.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
iii.	The firm ensures that any person employed as an armed security officer (cash-in-transit) carries the firearm only on duty and in accordance with the provisions of section 17 of the <i>Weapons Regulation 2016</i> .	<input type="checkbox"/> Yes	<input type="checkbox"/> No
iv.	There have been no pages removed from the firm's register and there has been no erasing or obliterating of an entry in the register.	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Q11: Compliance Criteria: Contracting**

<b>a</b>	<p><b>Does the firm engage, or intend to engage, any other security firm licence holder under contract to provide any security activities on your behalf?</b></p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<p>If your answer to Q11 (a) is <b>YES</b>, please complete statements (i) and (ii) below.</p> <p>If your answer to Q11 (a) was <b>NO</b>, go to Q11 (b).</p>			

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i.	The firm obtains a copy of each contractor's security firm licence.	<input type="checkbox"/> Yes <input type="checkbox"/> No
ii.	The firm obtains a copy of a current Approved Security Industry Association (ASIA) Membership Certificate from each contractor.	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>b</b>	<b>Does the firm provide, or intend to provide, any security activities under contract to another security firm licence holder?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
If your answer Q11 (b) is <b>YES</b> , please complete statements (i), (ii) and (iii) below. If your answer to Q11 (b) <b>NO</b> , go to Q12.		
i.	The firm is a bona fide contractor under the provisions of the <i>Industrial Relations Act 2016</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
ii.	The firm provides a copy of the security firm licence to all contractors who use their services.	<input type="checkbox"/> Yes <input type="checkbox"/> No
iii.	The firm provides a copy of ASIAL Certificate of Membership to all contractors who use their services.	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Q12: Compliance Criteria: Registers**

a	Does the firm keep a register in accordance with the <i>Security Providers Regulation 2008</i> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If the answer to the question above (a) is <b>YES</b> , please complete the statements in this section. If the answer is <b>NO</b> , a firm <b>MUST</b> keep a register of all security providers engaged by the firm.		
b	The firm's register states the name of each security provider.	<input type="checkbox"/> Yes <input type="checkbox"/> No
c	The firm's register states the licence number of each security provider.	<input type="checkbox"/> Yes <input type="checkbox"/> No
d	The firm's register states the expiry date of each security provider's licence number.	<input type="checkbox"/> Yes <input type="checkbox"/> No
e	The firm's register states the date of commencement and end date of each security providers engagement.	<input type="checkbox"/> Yes <input type="checkbox"/> No
f	The security firm must keep the register for at least 7 years (after the last entry was made).	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Q13: Compliance Criteria: Crowd Controller Registers (Only applies to Firms who provide Crowd Control services. If not applicable please go to Q15).**

a	Does the firm keep a crowd control register in accordance with the Security Providers Regulation 2008?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
If the answer to the question above (a) is <b>YES</b> , please complete the statements in this section.		
b	The firm's crowd control register while the services are being supplied is kept in a secure place at the public place.	<input type="checkbox"/> Yes <input type="checkbox"/> No
c	The firm's register states the crowd controller's full name and licence number, written in ink and easily legible.	<input type="checkbox"/> Yes <input type="checkbox"/> No
d	The firm's register indicates the number of identification that must be worn by the crowd controller.	<input type="checkbox"/> Yes <input type="checkbox"/> No

Initials \_\_\_\_\_



e	The firm's register indicates the start and finish time of each period of duty at the public place.	<input type="checkbox"/> Yes <input type="checkbox"/> No
f	The firm's register details each incident at the public place involving the crowd controller and in which a person was injured and/or if a person is removed from the public place.	<input type="checkbox"/> Yes <input type="checkbox"/> No
g	The firm's register (if consisting of more than 1 page) is firmly bound along its spine.	<input type="checkbox"/> Yes <input type="checkbox"/> No
h	The firm's register pages are sequentially numbered.	<input type="checkbox"/> Yes <input type="checkbox"/> No
i	The Firm ensures there have been no pages removed from the firm's register and there has been no erasing or obliterating of an entry in the register.	<input type="checkbox"/> Yes <input type="checkbox"/> No
j	The security firm must keep the register for at least 7 years (after the last entry was made).	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Q14: Compliance Criteria: Crowd Controller Registers – Restricted Licensees**

a	The firm's register indicates the name of the person who holds an unrestricted licence for carrying out crowd controller functions who supervises the restricted licensee.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
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If the answer is **NO**, a firm who provides crowd control services **MUST** keep these details in the register of crowd controllers at the public place engaged by the firm.

**Q15: Compliance Criteria: General Provisions**

a	The Firm ensures that no uniform or apparel used by the firm is able to be mistaken for that of any Federal, State or local government or quasi-government department or authority.	<input type="checkbox"/> Yes <input type="checkbox"/> No
b	The Firm ensures that no marking or logo displayed on any uniform or company apparel worn by licensed security personnel in the firm will be able to be mistaken or confused with any police or emergency services marking or logo.	<input type="checkbox"/> Yes <input type="checkbox"/> No
c	The firm ensures that licensed crowd controller's wear the prescribed identification.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

**Q16: Compliance Criteria: Equipment**

a	All equipment used by the firm conforms or will conform to national safety standards.	<input type="checkbox"/> Yes <input type="checkbox"/> No
b	All equipment supplied, installed or used by a security firm/installer must comply with the <i>Electrical Safety Act 2002</i> , <i>Electrical Safety Regulation 2002</i> and the ACMA A-Tick compliance program for any equipment capable of being connected to a telephone or communications network and any relevant Australian standard for that product/component.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

**Q17: Compliance Criteria: Private Investigator (Only applies to Firm who provides Private Investigator services).**

a	Does the firm provide for confidential secure storage and destruction of information and evidence?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
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Initials \_\_\_\_\_



## REQUIRED SUPPORTING DOCUMENTATION CHECKLIST

Please provide **copies of the documents** listed below that are relevant to your business.

Failure to provide the appropriate documentation may result in your Firm being deemed as non-compliant. Please note that the Stat Dec must be certified by Honorary Justices (Justice of the Peace, JP) **after** you have completed the documentation.

Visit : <http://www.justice.qld.gov.au/justice-services/justices-of-the-peace/jps-search>

Please tick  when documents are attached.

### Information about your business

- 1. Security firm licence (both pages)
- 2. Business name certificate
- 3. Australian Business Number (ABN) certificate
- 4. Certificate of Incorporation

### Insurance / policies and procedures information

- 5. Public Liability (certificate of currency)
- 6. Workers Compensation Policy (certificate of currency)
- 7. Current workplace health and safety policy **OR** statement confirming that one exists\*  
(see Declaration of Compliance)
- 8. Complaints management policy **OR** statement confirming that one exists\*(see Declaration of Compliance)
- 9. Statement confirming relevant award / workplace agreement under which employees are covered\*  
(see Declaration of Compliance)

### Registers

- 10. Register of employee licences confirming expiry date **OR** statement confirming that one exists\*  
(see Declaration of Compliance)
- 11. Sample pay slips or evidence of pay etc **OR** statement confirming that it exists\*  
( see Declaration of Compliance)
- 12. Register of workplace injuries **OR** statement confirming that one exists\*(see Declaration of Compliance)
- 13. Register of security providers **OR** statement confirming that one exists\*(see Declaration of Compliance)
- 14. Register of crowd controllers **OR** statement confirming that one exists\*(see Declaration of Compliance)

### Declarations

- 15. Declaration of Compliance
- 16. ASIAL Code of Professional Conduct declaration
- 17. Statutory Declaration - **must be certified by JP**

\* A Declaration of Compliance template has provided statements for your convenience on the following pages.

Initials \_\_\_\_\_



## DECLARATION OF COMPLIANCE

Please tick ✓ which statement is applicable.

**Work Health & Safety** - refer to 'Required Supporting Documentation Checklist #8'

This is to confirm that [ insert firm name ] is committed to ensuring a safe and healthy workplace for its workers, contractors, visitors and customers by eliminating or minimising the risk of injury to people and the risk of damage to plant and equipment. We achieve this by adopting our current workplace health and safety policy.

**Complaints Management Policy** - refer to 'Required Supporting Documentation Checklist #9'

This is to confirm that [ insert firm name ] implements a complaints management policy. We manage complaints in an accountable, transparent, timely and meaningful way. The policy ensures that all complaints are dealt fairly and staff members are competent to manage complaints to resolution.

**Relevant Award/Workplace Agreement** - refer to 'Required Supporting Documentation Checklist #10'

This is to confirm that [ insert firm name ] has identified and applies the relevant award(s)/Workplace Agreement(s) which cover(s) the classifications of employees in the workplace.

**Employee Licence Details** - refer to 'Required Supporting Documentation Checklist #11'

This is to confirm that [ insert firm name ] keeps a copy of each employee's licence confirming the expiry date.

**Pay Slips** - refer to 'Required Supporting Documentation Checklist #12'

This is to confirm that [ insert firm name ] provides employees with pay slips each time they are paid. The pay slip contains the following information:

- Name and ABN of the employer
- Name of employee
- Classification of the employee under their award or enterprise agreement (including full-time, part-time and casual status)
- Date when the payment was made
- Period of employment to which the payment relates
- The amount of money paid before tax (gross amount) (including overtime and other payments)
- Amount paid as overtime or information to allow the employee to calculate the amount of overtime
- Amount deducted for tax
- Any amount for superannuation
- Particulars of all other deductions
- Amount paid after tax (net amount).
- Annual leave accrual (where applicable)

Initials \_\_\_\_\_



**Workplace Injuries** - refer to 'Required Supporting Documentation Checklist#13'

This is to confirm that [ insert firm name ] keeps a register of injuries which is a current record of any injuries suffered by workers, whether they result in claims or not. The register includes at least the following information:

- name of the injured worker
- the worker's address
- the worker's age at the time of injury
- the worker's occupation at the time of injury
- the industry in which the worker was engaged at the time of injury
- the nature of the injury
- the cause of the injury.

**Security Providers Register-** refer to 'Required Supporting Documentation Checklist#14'

This is to confirm that [ insert firm name ] keeps a register of security providers it employs or engages. The register contains:

- the name, licence number and expiry date of each security provider
- the date of commencement and termination of employment (where applicable).

**Crowd Controllers** - refer to 'Required Supporting Documentation Checklist#15'

This is to confirm that [ insert firm name ] keeps a register of the crowd controllers it employs or engages. The register contains:

- the full name, and licence number of crowd controller written legibly or typed in ink
- the security firm's name and address (if applicable)
- details of the crowd controller's identification (i.e. the ID number issued by the venue)
- the date and time when the crowd controller starts and finishes each period of duty at a public place
- the name of the unrestricted crowd controller licensee directly supervising the restricted crowd controller licensee (if applicable)
- details of every incident in which a person is injured, or removed from a public place by the crowd controller.



Signed \_\_\_\_\_ Date \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Full name (print) \_\_\_\_\_ Position \_\_\_\_\_

## ASIAL CODE OF PROFESSIONAL CONDUCT DECLARATION

As approved by the Chief Executive, Office of Fair Trading.

1. For the purposes of ASIAL's Code of Professional Conduct (the Code), Members shall include, as applicable, any of their employees and contractors.
2. Members shall conduct their activities in a professional and competent manner with respect for the public interest, maintaining the privacy and confidentiality in their dealings, and shall at all times act with integrity in dealing with clients, employees or sub-contractors, past and present, with their fellow Members and with the general public. The objective of the Code is for Members to adopt best practice industry standards.
3. Members shall not intentionally disseminate false or misleading information, whether written, spoken or implied, nor engage in false, misleading or deceptive conduct or otherwise bring the security industry into disrepute. Members have a duty to maintain truth, accuracy and good taste in advertising and sales promotion.
4. Members shall not represent conflicting or competing interests except with the express consent of those concerned given only after full disclosure of the facts to all interested parties.
5. Members shall refrain from knowingly associating with any enterprise, which uses improper or illegal methods for obtaining business.
6. Members shall not intentionally injure the professional reputation or practice of another Member.
7. Members shall comply with all applicable State and Federal legislation covering security providers and in particular statutory obligations, including but not limited to matters relating to consumer laws, work health and safety and workplace relations laws.
8. ASIAL is to be informed when the Member's attention has been drawn to any breach by that Member of the Code.
9. Members shall help to improve the body of knowledge of the profession by exchanging information and experience with fellow Members, participating in industry related programs designed to raise the standard of service delivery, and by applying their special skill and training for the benefit of others.
10. Members shall refrain from using their relationship with the Association in such a manner as to state or imply an official accreditation or approval beyond the scope of membership of the Association and its aims, rules and policies.
11. Members shall cooperate with fellow Members in upholding and enforcing the ASIAL Code of Professional Conduct.
12. Members shall have in place procedures to deal appropriately and promptly with complaints about the provision of its services and actively engage in the resolution of complaints raised via ASIAL's Dispute Resolution Policy and Procedure.
13. Members shall maintain appropriate and accurate records in accordance with all relevant statutory requirements.
14. Where an alleged breach of this Code is appropriately brought to the attention of ASIAL, then ASIAL will in the first instance raise this matter in writing with the Member. ASIAL will provide the Member with the opportunity to take remedial action, if that is appropriate under the circumstances, or where remedial action should have been but has not been carried out by the Member, then ASIAL is to inform the Member that it will take the appropriate disciplinary action by way of a show cause notice why their membership should not now be cancelled.

I, [ insert full name ] on behalf of [ insert firm name ] declare that I have read and understand the contents of the ASIAL Professional Code of Conduct.



Signed \_\_\_\_\_ Date \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Position \_\_\_\_\_

# STATUTORY DECLARATION

## Oaths Act 1867

### Statutory Declaration

#### QUEENSLAND TO WIT

I, [ Print full name ], of [ insert address ], in the State of Queensland do solemnly and sincerely declare that the responses and information I have provided in response to the questions in the compliance criteria/checklist contained in schedule 2 of the Audit Compliance Guide are true and correct and all attachments are true copies of the original documents.

And I make this solemn declaration conscientiously believing the same to be true, and by virtue of the provisions of the Oaths Act 1867.



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Signature of person making the declaration

Declarer

Taken and declared before me at [insert name of town or city and suburb where affidavit signed] this [insert date] day of [insert month] 20[insert year], before me.

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Signature  
Justice of the Peace/Commissioner for Declarations



**A statutory declaration under the *Statutory Declarations Act 1959* may be made before—**

(1) a person who is currently licensed or registered under a law to practise in one of the following occupations:

Architect	Chiropractor	Dentist
Financial adviser	Financial Planner	Legal practitioner
Medical practitioner	Midwife	Migration agent registered under Division 3 of Part 3 of the <i>Migration Act 1958</i>
Nurse	Occupational therapist	Optometrist
Patent attorney	Pharmacist	Physiotherapist
Psychologist	Trade marks attorney	Veterinary surgeon

(2) a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described); or

(3) a person who is in the following list:

Accountant who is:

- a) a fellow of the National Tax Accountants' Association; or
- b) a member of any of the following:
  - i. Chartered Accountants Australia and New Zealand;
  - ii. the Association of Taxation and Management Accountants;
  - iii. CPA Australia;
  - iv. the Institute of Public Accountants

Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public

APS employee engaged on an ongoing basis with 5 or more years of continuous service who is not specified in another item in this list

Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the *Consular Fees Act 1955*)

Bailiff

Bank officer with 5 or more continuous years of service

Building society officer with 5 or more years of continuous service

Chief executive officer of a Commonwealth court

Clerk of a court

Commissioner for Affidavits

Commissioner for Declarations

Credit union officer with 5 or more years of continuous service

Employee of a Commonwealth authority engaged on a permanent basis with 5 or more years of continuous service who is not specified in another item in this list

Employee of the Australian Trade and Investment Commission who is:

- (a) in a country or place outside Australia; and
- (b) authorised under paragraph 3 (d) of the *Consular Fees Act 1955*; and
- (c) exercising the employee's function at that place

Employee of the Commonwealth who is:

- (a) at a place outside Australia; and
- (b) authorised under paragraph 3 (c) of the *Consular Fees Act 1955*; and
- (c) exercising the employee's function at that place

Engineer who is:

- a) a member of Engineers Australia, other than at the grade of student; or
- b) a Registered Professional Engineer of Professionals Australia; or
- c) registered as an engineer under a law of the Commonwealth, a State or Territory; or
- d) registered on the National Engineering Register by Engineers Australia

Finance company officer with 5 or more years of continuous service

Holder of a statutory office not specified in another item in this list

Judge

Justice of the Peace

Magistrate

Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the *Marriage Act 1961*

Master of a court

Member of the Australian Defence Force who is:

- a) an officer
- b) a non-commissioned officer within the meaning of the *Defence Force Discipline Act 1982* with 5 or more years of continuous service
- c) a warrant officer within the meaning of that Act

Member of the Australasian Institute of Mining and Metallurgy

Member of the Governance Institute of Australia Ltd

Member of:

- a) the Parliament of the Commonwealth
- b) the Parliament of a State
- c) a Territory legislature
- d) a local government authority

Minister of religion registered under Subdivision A of Division 1 of Part IV of the *Marriage Act 1961*

Notary public, including a notary public (however described) exercising functions at a place outside

- a) the Commonwealth
- b) the external Territories of the Commonwealth

Permanent employee of the Australian Postal Corporation with 5 or more years of continuous service who is employed in an office providing postal services to the public

Permanent employee of

- a) a State or Territory or a State or Territory authority
- b) a local government authority

with 5 or more years of continuous service, other than such an employee who is specified in another item of this list  
Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made  
Police officer  
Registrar, or Deputy Registrar, of a court  
Senior executive employee of a Commonwealth authority  
Senior executive employee of a State or Territory  
SES employee of the Commonwealth  
Sheriff  
Sheriff's officer  
Teacher employed on a permanent full-time or part-time basis at a school or tertiary education institution