

# Compliance Management System Policy, Scope and Objectives

## Scope

The Quality policy is written to comply with all standards listed in the Quality Records Table.

The purpose of the compliance management system is to ensure service delivery consistently meets the needs and requirements of the business and all its stakeholders. The responsibility for the control and maintenance compliance management system is held by the Quality Manager, with all final decisions and amendments being subject to the approval of the Managing Director.

The stakeholders of the Compliance management system includes;

## Staff

As a service provider staff are the key resource within the business, and therefore one of the main links in the businesses ability to achieve its intended outcomes. It is for this reason that all Security staff engaged with Industry Security UK Limited are subject to regular reviews to ensure that policies and procedures in terms of working practice are being adhered to. Staff are also given regular opportunities to provide feedback on their working conditions, job satisfaction and sense of employee value held by the company. These processes are followed diligently to ensure any dissatisfied results are resolved promptly and prevent any negative impacts being felt by the company or its staff.

## Customers

Customers are also an essential stakeholder group when considering the success of the business, without which the ability to generate revenue would be depleted. Therefore ensuring customer satisfaction is paramount in sustaining the business and generating continual growth. Regular feedback is sought via management meetings and monitoring Key Performance Indicators to ensure services provided are consistently meeting and where possible exceeding expectations and requirements. Regular meetings are aimed at building and sustaining customer relationships and in turn giving opportunity for any issues arising to be highlighted at an early stage thus preventing issues being escalated to complaints which could potentially damage future business opportunities.

## Suppliers

The use of suppliers is limited due to the nature of the business, however it is essential that supplied items are of a good quality and fit for their intended use. This is essential to ensure that service delivery remains unhindered by poor quality or inappropriate equipment provisions.

## Competitors

In order to maintain a strong foothold within the market place we must ensure that we monitor and are aware of the actions and practices undertaken by our competitors. This is essential in order to ensure working practices and services provided remain at the forefront of the industry. Without this observation and monitoring of competition and industry practice the business risks becoming stale and losing the marketing advantages which are currently held.

## Media

Media perception and interactions within the business are to be controlled in order to ensure company image is portrayed in the most favourable light possible. With the growth of media outlets and their accessibility increasing rapidly in recent years it is essential for opportunities for negative portrayal and communications of the business by either staff, customers or competitors to be limited and controlled as much as is feasibly possible. Any negative portrayals entered into the public domain will become virtually impossible to retract and can subsequently cause detrimental damage to the company image. It is for this reason that feedback gathering exercises are consistently followed by the company to ensure the satisfaction of all relevant stakeholders.

The above features are regularly monitored with active seeking of feedback from clients, staff and the consumers of the security services provided by Industry Security UK Limited. Internal measures undertaken include regular internal and external audits to ensure full compliance with both regulatory and statutory requirements.

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## Environmental Policy

The Company recognises that the long term viability of our business is dependent on sustainable operations. We believe sustainable operations are those that drive efficient resource use and provide a healthy environment, which in turn facilitates social progress and economic growth. As a company we therefore strive to act as responsible stewards of the environment and commit to continual improvement.

To balance these challenging needs we are committed to efficient and effective practices. We recognise that sustainability is the collective responsibility of governments, businesses, individuals and communities and so work in partnership with our employees, customers and suppliers to pursue this goal.

In pursuit of this policy, The Company has committed itself to the following:

- Achieve and maintain compliance with all existing environmental legislation and regulations
- Continue to prevent and where practicable reduce pollution loads entering the environment
- Encourage and facilitate the interchange of environmentally friendly processes and procedures throughout the company and promote good practice
- Develop our employees' awareness of environmental issues including this policy
- Foster productive partnerships with our employees, customers and suppliers
- Take an active and positive role in the wider community, encompassing not only our neighbours at our offices and our remote locations but the communities of our stakeholders.

This policy has been produced by Senior Management with reference to the services and procedures that operate throughout The Company. It is our aim to develop and improve the CMS as required and appropriate as we develop as a business.

By commencing our Environmental Policy we are committed to the prevention of pollution and the adherence to all appropriate environmental laws and regulations together with a commitment to comply with any voluntary requirements agreed with organisations, partners or customers. We shall establish and maintain a procedure to identify and have access to legal requirements. By our efforts we shall also strive for continual improvement on an annual basis.

We will form a working party and support that unit in its own aims and with resource to establish and develop our own Environmental Objectives and Targets. Those objectives and targets will be set after consideration of the environmental aspects our organisation has and the impacts on the environment.

From time to time those aspects will change and therefore our objectives will be reviewed. We shall establish and maintain documented environmental objectives and targets both overall and at each relevant function and level.

Our environmental policy shall be available to the public.

## Exclusions

Due to the nature of the business as a security service provider including but not limited to the provision of static guarding and door supervision services as the main revenue generating activities point 8.3 of the ISO 9001 standard (Design and Development) is excluded from the scope of the compliance management system.

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## Objectives

In order to maintain continual improvement and development of the compliance management system and services provided the following objectives will be maintained and monitored;

- Customer Satisfaction
- Effective leadership
- Employee motivation
- Continual Improvement
- Effective financial management
- Effective management of the Quality Management System
- Health and Safety Principles
- Access to adequate resources
- Control and reduce Environmental Impacts

Statistical data will be gathered throughout the year and reviewed at least annually as part of the Management review. Targets will be subject to review as part of this meeting and any areas falling below target will be raised as a non-conformance and appropriate action taken to correct shortfalls. Targets will also be reviewed in respect of continual improvement and any areas where the company is consistently exceeding specified requirements will be suitably amended

## Environmental Management Programme

Our Environmental Management Programme shall establish and maintain programmes for achieving objectives and targets and these will include designation of responsibility and the means and timeframe of achievements. When necessary these shall be amended.

## Structure & Responsibility

Within our organisation all roles, responsibilities and authorities shall be defined, documented and communicated not only within our own organisation but with our customers and suppliers. Senior Management is committed to provide the resource essential for implementation and control of the CMS and has appointed a specific management representative who will define roles, responsibilities and authority to ensure that the requirements of the CMS are established, implemented and maintained and that a regular report on performance is produced for top management review.

## Training

We shall identify training needs in order that all personnel whose work may create significant impact on the environment receive appropriate training. This training will include establishing and maintaining procedures to ensure that all employees remain aware of:

- the importance of conformance with the policy, procedures and requirements
- the significant environmental impacts, actual or potential of work activities and environmental benefits of improved personal performance
- roles and responsibilities in achieving conformance and including emergency preparedness and response
- the potential consequences of departure from standard operating procedures

All personnel shall be competent on the basis of appropriate education, training and / or experience.

## Internal Communication

We have established and shall maintain procedures for internal communication at various levels and between functions and also for receiving, documenting and responding to communications from outside parties. We shall also consider processes for external communication on significant environmental aspects and record any decisions made.

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## Documentation & Control of Documents

Our established documentation system will maintain information either in electronic or paper form to describe the core elements of our management system and their interaction and provide links to related documentation. This documented system has established and maintained procedures for controlling all documents required by this standard to ensure:

- Proper identification and handling
- Reviewed and revised as necessary
- Only current versions are in use
- Obsolete documents are promptly removed to prevent unintended use
- Obsolete documents are suitably marked and identified

## Operational Control

By our operational control we shall identify those operations and activities that are associated with significant environmental aspects in line with our policy, objectives and targets. These measures shall include planning activities, including maintenance to ensure that they are carried out under specified conditions by:

- establishing and maintaining documented procedures to cover situations where their absence could lead to deviations from the environmental policy and the set objectives and targets, stipulating operating criteria in procedures
- establishing and maintaining procedures related to identifiable significant aspects for goods and service used by our organisation and communicating those relevant procedures and requirements to suppliers and contractors

## Emergency Response & Preparedness

We have established and shall maintain procedures to identify the potential and for responding to accidents or emergency situations, and preventing and mitigating the environmental impacts associated with them.

## Monitor & Measure

We have established and shall maintain documented procedures to monitor and measure, on a regular basis, the key characteristics of our operation and our activities that can have a significant impact on the environment. These include recording of information to track performance, relevant operational controls and conformance with objectives and targets. We have also established and shall maintain a documented procedure for periodically evaluating compliance with the relevant legislation and regulations.

## Evaluation of Compliance

We have established and shall implement and maintain procedures for the periodic evaluation of compliance with all of our legal requirements and with any other requirement that we subscribe to. Records shall be kept of those evaluations.

## Non-Conformance & Corrective and Preventative Action

We have established and shall maintain procedures for defining responsibility and authority for handling and investigating non-conformances, taking action to mitigate any impacts caused, and for initiating and completing corrective and preventative action. Any corrective action taken to eliminate causes of actual and potential non-conformances shall be appropriate to the magnitude of problems and commensurate with the impact encountered. We shall implement and record any changes made in the documented procedures resulting from corrective or preventative action.

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## **Records**

We have established and shall maintain procedures for the identification, maintenance and disposition of environmental records. These records shall include training records and the results of audits and reviews and shall be legible, identifiable and traceable to the activity, product or service involved. The environmental records shall be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Retention times are established and recorded and all shall be maintained as appropriate to the system and to the organisation in order to demonstrate conformance to the requirements of the International Standards ISO 9001 and 14001.

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## **Audits**

We have established and shall maintain programmes and procedures for periodic environmental management system audits to be carried out in order to:

- Determine whether or not the CMS conforms to planned arrangements for environmental management including the requirements of the relevant standard and has been properly maintained and implemented.
- Provide information on the results of such audits to management.

The audit programme, including the schedule shall be based on the environmental importance of the activity concerned and the results of previous audits and shall cover the audit scope, frequency and methodologies as well as the responsibilities and requirements for conducting audits and reporting results.

## **Management Review**

We shall at annual intervals review the CMS to ensure suitability, adequacy and effectiveness and we shall ensure that the necessary information is collected to allow management to carry out an evaluation. This review shall be documented.

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## Responsibilities of a Door Supervisor

The aim of an efficient Door Supervisor is to protect and preserve life and venue. At all times the interest of the client will be paramount and immediate action taken to achieve the aim to ensure positive results.

A Door Supervisor:

- **Must have a valid SIA badge.**
- Be aware of the provisions of the Licensing Act and their application to the role of door supervisor.
- Must have a basic awareness of health and safety practices.
- Must be aware of the venue Assignment Instructions.
- Must Sign in and out of the venue indicating start and finish times.
- Must not drink alcohol, smoke or take drugs whilst on duty or be under the influence of alcohol or drugs when signing in for duty.
- If you suspect a colleague of either being in possession of, dealing in or using drugs, you **must** immediately inform your operations/area manager.
- All incidents of drug use/drug possession/drug selling **must** be reported to the venue manager and also entered into the incident book.
- Do not use mobile phone whilst on duty (unless in an emergency).
- Do not at any time unlawfully carry weapons.
- No eating or chewing gum whilst on duty.
- Wear only approved `uniform` whilst on duty.
- Portray a clean cut image whilst on duty.
- Do not stand directly in doorway of premises (no intimidation of customers).
- Use moderate language at all times when dealing with members of the public and other staff.
- Act fairly and not unlawfully discriminate against any person on the grounds of colour, race, religion, sex or disability.
- Do not fraternize with customers, friends or relatives whilst on duty.
- Greet visitors to the venue in a friendly and courteous manner.
- Maintain good order on the premises and ensure safety of the public.
- Prevent persons entering the venue after a time stipulated by the venue manager.
- Never solicit or accept any bribe or other consideration from any person, nor fail to account for any money or property received during the course of duty.
- Ensure that consent is obtained from each customer prior to any search taking place, if the venue manager requires personal searches as a condition of entry.
- Do not search individuals of the opposite sex and ensure that any items seized are dealt with strictly in accordance with the venue policy.
- Do not retain items seized under any circumstances i.e. all drugs to be placed in the drugs safe.
- Protect the premises and property against damage or theft.
- Use tact and diplomacy as the first tool to control conflict.
- Use only reasonable force to defuse violent conflict.
- Never deal with a member of the public on a one-to-one basis.
- Be courteous to customers as they leave the venue.

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Door supervisors must also:

- Ensure communication equipment works and understand how to use it.
- Report incidents in a daily logbook for the information of the security team, the management and interested outside agencies.
- Use hand-held counters (clickers) to monitor venue capacity (When required).
- Assist the emergency services in whatever they request in the execution of their duties.
- Be aware of emergency procedures, what action to take and how to inform the emergency services and/ or licensing committees.

## Uniforms & Equipment

You must provide you own uniforms. They will be maintained in a clean, tidy and serviceable condition. The dress code for Door Supervisors is as follows;

When reporting for duty, the door supervisor must be clean and smart. Attention must be given to clean finger nails; personal hygiene is to be kept to a high standard.

Whilst accepting that modern hairstyles can include longish hair, the hair must be kept groomed and the styles not ridicule the company image. Hair is to be kept clear of the collar, beards and other facial hair must be kept neat and tidy.

## Door Supervisors Duties

Obtain a copy of, and observe any written client company rules. Such rules must be enforced with interest, tact and discretion.

Be conversant with Works Manuals and Assignment Instructions which tell you the agreed requirements between Industry Security UK Limited and the client company. Should clients request that you divert from such instructions, be courteous and request that your company be advised?

Keep all records neatly, accurately and legible. Do not divulge records to unauthorised personnel.

From time to time you may hear thing of a confidential nature. Such information must not be divulged to unauthorised personnel, or discussed with colleagues.

When on duty you are both a representative for Industry Security UK Limited and the client. It is important that you conduct yourself in a manner that will bring credit to both companies, your fellow workers and above all to yourself.

Always be smart and a credit to Industry Security UK Limited.

## General Responsibilities

### Telephones

Except in the case of an emergency, **you are not permitted to use a telephone belonging to a client, for any purpose other than official business.** Improper use of the telephone **may render you liable to disciplinary action.**

### Computers

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Under no circumstances are door supervisors to use a client's computer for any other reason than the duties set out for him on the individual site. Any unauthorised use of a client's computer for such purposes as 'surfing the web' will be classed as gross misconduct.

### **Industry Security UK Limited & Clients Property**

Unauthorised possession of any property belonging to the company, its employees, or its clients may be regarded as gross misconduct.

### **Personal Search**

The nature of Industry Security UK Limited business may make it necessary on occasions to submit you, your belongings or personal effects, or your vehicle, to a search. Such a search may be carried out without prior warning but will only be carried out in the presence of a member of management. Refusal to comply with a reasonable request to be searched could lead to dismissal.