

Security Company Licence (Type I Work) List and Guideline of Documents Required (Annual Inspection)

Licence no. of security company: _____

Date of last inspection: _____

1) **Letter of authorisation**

- If vetting of annual inspection is not attended by the applicant / director in person, a letter of authorisation signed by **the licensee / director** must be submitted

2) **Up-to-date chart of management team and List of directors / senior management (preferably labeled with "Personal Data")**

- i. Companies Registry annual returns (if any)
- ii. Up-to-date organisation chart of the company
- iii. Proof of personnel changes already reported to the SGSIA (if any changed)
- iv. List of all existing shareholders and directors and
- v. List of senior management (**only applicable to personnel involved in security work**)

The list must include the following four items:

- (1) Name (2) HKID no. /Business Registration no. (3) Post (4) Date of appointment

3) **Valid Business Registration Certificate**

- Business Registration must show the company address and its nature of business must include Security guarding services

4) **Auditor's report**

- i. Up-to-date auditor's report: (i) written explanation and (ii) original of bank reference letter are required if failing to submit
- ii. For a negative balance, other documents are required (e.g. original of bank reference letter, balance sheet, profit & loss account and financial guarantee given by the mother company) to prove a sound financial status.

- ★ **Bank reference letter** should include (1) commencing date of account (2) account status and (3) latest balance

5) **Up-to-date list of employees (preferably labeled "Personal Data")**

(must include the following 11 pieces of information. Names must be arranged in temporal order, with employees joining the company earlier listed out first)

- (1) Serial no. (2) Name (3) HKID no. (4) Date of birth (5) Date joined company
- (6) Date of commencement of employment for doing security work (7) Post (8) SPP no.
- (9) SPP expiry date (Types A & B should be specified separately)
- (10) Completion date of valid security training course (QAS/ QAIHT)
- (11) Total no. of SPP holders (Types A & B should be specified separately)

6) **Up-to-date list of sites ****If management of sites has been outsourced, please submit copies of outsourcing agreement and outsourced company's security licence**** (must include the following seven pieces of information)**

- (1) Serial no. (2) Name of property (3) Address
- (4) Name, phone no. and post of contact person of your company
- (5) Type of property (please specify: commercial / industrial / commercial & residential / residential / single block residential)
- (6) No. of shifts and time that security services are provided (please specify if services are only provided for sites under management)
- (7) Total no. of property (commercial, industrial, commercial & residential, residential, single block residential - should be specified separately)

7) **Copy of valid employees' compensation insurance policy (written explanation is required if failing to submit)**

(must include the following four pieces of information)

- (1) The licensee's company must be the insured (2) Insurance should cover all sites where services are provided
- (3) Employees' compensation insurance for all employees (the compensation should be at least HK\$100,000,000 per incident for 200 persons or less, or, at least HK\$200,000,000 per incident for more than 200 persons)
- (4) Nature of business (the company should be insured for the extent of its business subject, which includes **Security guarding services**)

8) **Copy of valid public liability insurance policy (written explanation is required if failing to submit)**

(must include the following four pieces of information)

- (1) The licensee's company must be the insured (2) The compensation should be at least HK\$10,000,000 per incident
- (3) Insurance should cover all sites where services are provided
- (4) Nature of business (the company should be insured for the extent of its business subject, which includes **Security guarding services**)

9) **Assignment instructions and contingency plans (can be submitted on disc) (If no changes have been made since the previous inspection, a letter of declaration can be submitted)**

- i. Up-to-date copies of assignment instructions
- ii. Up-to-date copies of contingency plans
- iii. The company must maintain a full set of assignment instructions and contingency plans at all guard posts

10) **Three personnel files of security staff recently employed (preferably labeled with "Personal Data")**
(If no new security personnel has been recruited since the previous annual inspection, a letter of declaration can be submitted)
(Must include the following eight items)

(1) Job application form (2) Official employment contract
(3) Statement in relation to Personal Data (Privacy) Ordinance
(4) Copy of security personnel permit (5) Training Certificate (please refer to item (12))
(6) Company vetting records
(7) Notice of Commencement of employment of security personnel
(8) Health report (for security personnel aged 65 or above)

★ **Company vetting records must include the following five items:**

(1) Confirmation of employment history: the company must check whether the employment history provided by the job applicant is true and correct (all employment records for the past three years)
(2) Conducting reference or character checks: requiring each applicant to provide two non-relative referees along with their full names, residential addresses, relationship and telephone numbers, so that the company may enquire about the applicant's past performance, integrity and suitability of doing security work
(3) Verification of residential address (such as any public utilities, bills, bank statements and phone statements etc)
(4) Verification of security personnel permit revoked list from Police Licensing Office website
(5) Date, method of vetting, name and post of the vetting person

11) **Health report**
 Medical Examination reports of all security personnel aged 65 or above

12) **Valid training certificates (for newly recruited security staff since the previous annual inspection) (If more than 50 newly security guards, produce maximum 50 no. of certificates of the latest recruitment only)**

i. Security personnel should have successfully completed the training course approved by the SGSIA before deployment. The certificate issued upon completion of training is valid for a period of 5 years, or,
(The following is only applicable to companies which have been granted QAIHT)

ii. Security personnel should have successfully completed the QAIHT, an internal training provided by the company itself, before deployment.

(The following seven items must be included)

(1) List of trainers (all trainers must be approved by the Commissioner of Police)
(2) List of authorised persons (4 persons at most. Commissioner of Police must be notified)
(3) Training manual (4) Course time table (5) Test questions and answers (6) Attendance record
(7) Notice of employment and training (Pages 1 and 2 of QAIHT form 1)

**** (If no QAIHT course has been held; and/or if no amendment of the above mentioned items (1) to (5) since the previous annual inspection, letter of declaration(s) is/are required)**

13) **Details and records of teleprotection ** (If teleprotection has been outsourced, please submit a copy of the outsourcing agreement and outsourced company's security licence)**
Teleprotection records and **OB** of sites under management:
(1) _____ - from _____ (year) _____ (month) _____ (day) to _____ (year) _____ (month) _____ (day)
(2) _____ - from _____ (year) _____ (month) _____ (day) to _____ (year) _____ (month) _____ (day)
(3) _____ - from _____ (year) _____ (month) _____ (day) to _____ (year) _____ (month) _____ (day)

14) **Supervisory records**
Originals of supervisory records and **OB** of sites under management:
(1) _____ - from _____ (year) _____ (month) _____ (day) to _____ (year) _____ (month) _____ (day)
(2) _____ - from _____ (year) _____ (month) _____ (day) to _____ (year) _____ (month) _____ (day)
(3) _____ - from _____ (year) _____ (month) _____ (day) to _____ (year) _____ (month) _____ (day)

15) **Instructions on the procedures of disposal of confidential documents (If no changes have been made since the previous inspection, a Letter of Declaration can be submitted)**
 According to the guidelines of the SGSIA : Confidential documents no longer required must be shredded before being discarded

16) **Commencement/ termination of employment of security personnel (since the previous annual inspection)**
 Evidence already submitted to the Police Licensing Office to prove any commencement / termination of employment of security personnel

For details, please refer to the **Security and Guarding Services Ordinance (Cap.460)**, **Matters to which the Security and Guarding Services Industry Authority Shall Have Regard When Determining an Application for a Security Company Licence**, and the website of SGSIA : <http://www.sb.gov.hk/chi/links/sgsia/index.htm>