

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

Licence no. of security company: \_\_\_\_\_

Date of last inspection: \_\_\_\_\_

<p>1) <b><u>Letter of authorisation</u></b></p> <p><input type="checkbox"/> If vetting of annual inspection is not attended by the applicant / director in person, a letter of authorisation signed by <b><u>the licensee / director</u></b> must be submitted</p>
<p>2) <b><u>Up-to-date list of directors / senior management</u></b></p> <p>i. <input type="checkbox"/> Up-to-date organisation chart</p> <p>ii. <input type="checkbox"/> <b><u>List</u></b> of all existing shareholders and directors (preferably labeled with "Personal Data")</p> <p>iii. <input type="checkbox"/> <b><u>List</u></b> of senior management (<b><u>only applicable to personnel involved in security work</u></b>) (preferably labeled with "Personal Data")</p> <p><b><u>The list must include the following four items:</u></b></p> <p>(1) <input type="checkbox"/> Name (2) <input type="checkbox"/> Business Registration no./ HKID no. (3) <input type="checkbox"/> Post (4) <input type="checkbox"/> Date of appointment</p>
<p>3) <b><u>Valid Business Registration Certificate</u></b></p> <p><input type="checkbox"/> Business Registration must show the company address and its nature of business must include <b><u>installation, maintenance and repairing of a security device and designing a security system incorporating a security device</u></b></p>
<p>4) <b><u>Auditor's report</u></b></p> <p>i. <input type="checkbox"/> <b><u>Up-to-date auditor's report:</u></b> (i) written explanation and (ii) original of bank reference letter are required if failing to submit</p> <p>ii. <input type="checkbox"/> For a <b><u>negative balance</u></b>, other documents are required ( e.g. <u>original</u> of bank reference letter, balance sheet, profit &amp; loss account and financial guarantee given by the mother company) to prove a sound financial status.</p> <p>★ <b><u>Bank reference letter</u></b> should include (1) <input type="checkbox"/> commencing date of account (2) <input type="checkbox"/> account status and (3) <input type="checkbox"/> latest balance</p>
<p>5) <b><u>Up-to-date sample list of employees</u></b> (preferably labeled with "Personal Data")</p> <p><b><u>(Must include the following ten pieces of information. Names must be arranged in temporal order, with employees joining the company earlier listed out first)</u></b></p> <p>(1) <input type="checkbox"/> Serial no. (2) <input type="checkbox"/> Name (3) <input type="checkbox"/> HKID no. (4) <input type="checkbox"/> Date of birth (5) <input type="checkbox"/> Date joined company</p> <p>(6) <input type="checkbox"/> Date of commencement of employment for doing security work (7) <input type="checkbox"/> Post</p> <p>(8) <input type="checkbox"/> SPP technician no. (9) <input type="checkbox"/> SPP technician (Type D) expiry date (10) <input type="checkbox"/> Total no. of SPP technicians</p>
<p>6) <b><u>Up-to-date sample list of clients</u></b> ** <b><u>If services are outsourced, please submit copies of outsourcing agreement and outsourced company's security licence</u></b> **</p> <p><b><u>(Must include the following seven pieces of information)</u></b></p> <p>(1) <input type="checkbox"/> Serial no. (2) <input type="checkbox"/> Name of client (3) <input type="checkbox"/> Address of security system devices / repair and maintenance</p> <p>(4) <input type="checkbox"/> <b><u>Name, phone no. and post</u></b> of contact person of your company</p> <p>(5) <input type="checkbox"/> Security services provided (such as design, installation, repair and maintenance)</p> <p>(6) <input type="checkbox"/> Security devices provided (such as CCTV or alarm systems)</p> <p>(7) <input type="checkbox"/> Total no. of client</p>
<p>7) <b><u>Copy of valid employees' compensation insurance policy</u></b> (<b><u>written explanation is required if failing to submit</u></b>)</p> <p><b><u>(Must include the following four pieces of information)</u></b></p> <p>(1) <input type="checkbox"/> The licensee's company must be the insured (2) <input type="checkbox"/> Insurance should cover <u>anywhere in Hong Kong</u></p> <p>(3) <input type="checkbox"/> 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)</p> <p>(4) <input type="checkbox"/> Nature of business (the company should be insured for the extent of its business subject, which includes <b><u>installation, maintenance and repairing of a security device and designing a security system incorporating a security device.</u></b></p>

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 anywhere in Hong Kong  
(4)  Nature of business (the company should be insured for the extent of its business subject, which includes installation, maintenance and repairing of a security device and designing a security system incorporating a security device.

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9) **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 seven 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)  Certificate of any approved technical qualifications  
(6)  Company vetting records  
(7)  Notice of Commencement of employment of security personnel

★ **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

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10) **Up-to-date list of equipment in the Electronic Technical Workshop (If no changes have been made since the previous annual inspection, a letter of declaration can be submitted)**  
 including names of devices, manufacturers and quantity

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11) **Contingency plans - required for the following situations and hazards (If no changes have been made since the previous annual inspection, a letter of declaration can be submitted)**

(1)  Fire (2)  Electric shock (3)  Typhoon (4)  Red and black rainstorm warning signals  
(5)  Other hazards (if applicable)

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12) **Regarding the standard specifications of security devices <sup>\*\*</sup>(Must submit yearly)**  
 According to the guidelines of the SGSIA : all security devices designed, installed, maintained and repaired should be done according to the relevant British Standards (B.S.) or Underwriters Laboratories Inc. (U.L.) Standard or equivalent

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13) **Instructions on the procedures of disposal of confidential documents (If no changes have been made since the previous annual inspection, a letter of declaration can be submitted)**

(1)  Classification of confidential documents (2)  Storage of confidential documents  
(3)  Name and post of staff who rules that the confidential documents are no longer required  
(4)  Handling of confidential documents no longer required (according to the guidelines of the SGSIA, these documents must be shredded before being discarded)

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14) **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>