

TSR2014



TRUCKING SECURITY REQUIREMENTS

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TAPA
Transported Asset Protection Association

About TAPA



Cargo crime is one of the biggest supply chain challenges for manufacturers of high value, high risk products and their logistics service providers.

The threat is no longer just from opportunist criminals. Today, organized crime rings are operating globally and using increasingly violent attacks on vehicles, premises and personnel to achieve their aims. The Transported Asset Protection Association (TAPA) represents businesses fighting back against cargo crime that want to use real-time intelligence and the latest preventive measures to protect goods in the supply chain. TAPA is a unique forum that unites global manufacturers, logistics providers, freight carriers, law enforcement agencies, and other stakeholders with the common aim of reducing losses from international supply chains. Today, globally, TAPA's 700+ members include many of the world's leading consumer product brands as well as their logistics and transport providers with combined annual sales of over US\$900 billion, law enforcement agencies (LEA), insurers and other trade associations.

The Association's Mission is to help protect our members' assets.

TAPA's mission is to minimise cargo losses from the supply chain. TAPA achieves this through the development and application of global security standards, recognized industry practices, technology, education, benchmarking, regulatory collaboration, and the proactive identification of crime trends and supply chain security threats.



**For more information,
please go to:**

Americas	www.tapaonline.org
ASIA	www.tapa-apac.org
EMEA	www.tapaemea.com

About TAPA Standards



TAPA Security Standards (FSR/TSR/TACSS) have been established to ensure the safe and secure transportation, storage handling of any TAPA member's (Buyer's) assets throughout the world. The Trucking Security Requirements (TSR) represents minimum standards, specifically for transporting products via road within a supply chain. TAPA TSR certification is discussed further in this document.

The successful implementation of the TAPA Security Standards is dependent upon LSPs, Authorized Auditors and Buyers working in concert. However, the safe and secure transportation, storage and handling of the Buyer's assets is the responsibility of the LSP, its agents and subcontractors, throughout the collection, transit, storage and delivery to the recipient, as specified in a release or contract.

Where the TSR is referenced or included in the contract between the LSP and Buyer, the TSR is part of the contracted security requirements between Buyer and LSP, and shall be referenced in the LSP's security programme. Further, where the TSR is part of the contracted security requirements any alleged failure by the LSP to implement any part of the TSR shall be resolved in line with managing disputes under the terms of the contract negotiated between Buyer and LSP.



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1. Scope

(a) Introduction

The TSR is a tool intended for users and providers of trucking services. It provides a common standard of security measures for the transportation of cargo that can be used to form an agreement between a Buyer (shipper) and LSP (carrier) of trucking. In the development of these standards, TAPA has recognized the multiple differences in how trucking services are provided globally, regionally and even within companies, and that the TSR may apply to all or part of the services provided by a LSP.

Depending on the complexity and size of the supply chain, compliance with TAPA standards may be achieved through a single logistics service provider (LSP) or multiple LSPs and qualified subcontractors.

Regardless of how many different providers are required, adherence to the standard must be documented and auditable.



(b) Other Documents referenced in the TSR

TITLE	TITLE	REVISION DATE
TAPA TSR Assessment forms	Provides standard assessment templates for the measurement of conformance to TSR.	Six months from initial inception.
MOU	Memorandum of Understanding between the Independent Audit Bodies and TAPA. Specifies the procedures the audit body shall follow to support the certification scheme.	Three years from initial inception.

1. Scope



(c) Legal Guidance: Scope, Translation, the “TAPA” brand and Limits of Liability

The TSR is a global standard and all sections of the standard are mandatory unless an exception is granted via the waiver process. In geographical areas where English is not the first language, and where translation is necessary and applicable, it is the responsibility of the LSP and its agents to ensure that any translation of the TSR, or any of its parts, accurately reflects the intentions of TAPA in the development and publication of these standards. “TAPA” is a registered trademark of the Transported Asset Protection Association and may not be used without the express written permission of TAPA through its officially recognized regions.

TAPA standards and associated material are published through, and by TAPA, and may not be revised, edited, or changed by any party without the express written permission of TAPA. Misuse of the TAPA brand may result in removal of certification or legal action. By publication of these standards, TAPA provides no guarantee or assurance that all cargo theft events will be prevented, whether or not the standards are fully deployed and properly implemented. Any liability that may result from a theft of cargo in transit, or any other loss to cargo in transit under the TSR standards, will be for the account of the LSP and/or the Buyer in accordance with the terms and conditions in their contract with each other and any laws or statutes which may apply within the subject jurisdiction.

1. Scope



(d) Definitions

TERM	DEFINITION
AUTHORIZED AUDITOR	An Auditor working for an IAB, who has attended the TAPA Training and is authorized to conduct audits of TAPA Standards.
BUYER	Purchaser of services and/or owner of transported goods.
"BLACK SPOTS"	"Black spots" refers to areas where tracking technology does not work or where latency (delay in reporting) exceeds one hour. Different tracking technologies may exhibit different "black spots" within their coverage maps.
CURTAIN SIDED TRAILERS	Curtain sided trailers include trailers whose sides are constructed of fabric, either reinforced (anti-slash) or not, which is intended to roll up for loading/unloading operations.
DOCUMENTED PROCEDURE	A written description of a prescribed action or process. A single documented procedure may address multiple actions or processes. Conversely, actions or processes may be documented across one, or more, procedures.
FCL	FCL is full container-load and indicates that the cargo is dedicated for one Buyer.
FINDINGS	Finding: an "observation of non-compliance with a TAPA standard requirement". Note: All findings will be documented in a SCAR.
FSR	Facility Security Requirements: Standard describing the security requirements for warehouse operations.
FTL	FTL is full-truckload and indicates that the cargo is dedicated for one Buyer.
HARD SIDED TRAILERS	Hard sided trailers include trailers whose sides, floor and top are constructed of metal or other solid material.
HVTT	High Value Theft Targeted Cargo.
IAB	Independent Audit/ Certification Body appointed by Transported Asset Protection Association.
LOCAL CRIME INCIDENTS	Criminal incidents occurring within the certified facility and or the local area to the LSP.
LTL	LTL is less than load, usually referring to a consolidated load that may be in a truck or container and may contain cargo for multiple Buyers.
LOGISTIC SERVICE PROVIDER (LSP)	A forwarder, a carrier, a trucking company, a warehouse operator, or any other company providing direct services within the supply chain.
LSP SELF ASSESSMENT	LSP SELF-ASSESSMENT applies only to trucks in TSR Levels 1-3. The LSP will be required to self-assess vehicles which they intend to utilize for TSR work and to maintain a vehicle log of those vehicles to be certain that they are ready when needed. When the LSP applies for certification, the IAB will review the log for accuracy and conduct a sample audit of trucks reported in the log to confirm that they meet the required TSR standards.
TAPA TSR CERTIFICATION	TAPA TSR Certification is granted to a trucking company which meets all of the required policy, procedure and practice standards under the TSR or, to a LSP which meets all of the required policy and procedure standards under the TSR and which has a formal contract with one or more carriers which meet the practice standards. TAPA TSR Certification is valid for three years from the date upon which the certificate is issued.
TAPA TSR SERVICE PARTNER (TTSP)	TAPA TSR Service Partner: This designation is not a certificate, but it provides for recognition that a carrier has met the practice standards in the TSR and is therefore qualified to serve as a TSR carrier for any TAPA TSR Certified company.

1. Scope



(d) Definitions

TERM	DEFINITION
TRUCK	Truck, for purposes of the TSR, refers to a tractor/trailer rig, a tractor/container/ chassis rig, a straight truck/rigid vehicle, or a delivery van, where the driver and cargo compartments are separated by a permanent bulkhead. Where necessary, "truck" is differentiated from a trailer or container.
TSR LEVELS	There are three TSR levels: 1, 2, and 3. Level 1 is the highest level of security and level 3 is the lowest. The TSR levels apply to practice and to the physical and technical security provided by specific vehicles to be utilized.
TSR SELF AUDIT	SELF-AUDIT applies only to previously TAPA TSR certified LSPs. SELF-AUDITS must be conducted by the LSP during interim years between formal audits by the IAB, and must be reported, using the TAPA audit form, to the IAB during the interim years. The IAB is responsible for follow-up to be certain that self-audits occur. Failure to file a self-audit within 90 days of the anniversary date of granting of the original certificate will result in suspension of the certificate.
TSR VEHICLE LOG	Vehicles to be utilized under the TSR must be listed in the LSP's TSR vehicle log. There is no specific format for the log, however, it must include at least the following information: Tractor identification information, trailer identification information, TSR level, date (s) of audits and self-assessments, any exceptions, corrections to exceptions, date of correction.
TAPA SECURITY STANDARDS	Overall Security Requirements segmented in TAPA FSR, TSR and TACSS: Note the terms "freight" and "cargo" are utilized interchangeably for all intents and purposes within the TAPA scope and documents.
WAIVER	In the occurrence that a requirement in any of the TAPA Security Standards are not met, a waiver can be applied for, describing the reason why as well as the alternative measures taken to secure the risk that is addressed by this requirement. The regional waiver committee will review the waiver request and grant or deny the waiver.
WORKFORCE	All employees, Temporary Agency Staff, Subcontractors, unless individually identified.

2. Contract Acceptance



(a) Supplier's Responsibilities at Acceptance of the Formal Agreement

The TSR will be referenced in any formal agreement between the Buyer and LSP, and integrated into the LSP's own security programme. LSP shall provide Buyer with evidence of TSR Certification and, where appropriate, evidence that TSR level requirements have been met. Any and all documentation shall be handled as confidential information. In cases where the LSP's security procedures do not meet the TSR within 60 days of the first shipment date, the LSP shall present a detailed written action plan to secure the cargo, which outlines the non-compliant TSR area(s) and the corrective action to be taken.



3. Certification



(a) Introduction

TSR Certification is achieved only by audit through an approved IAB, and is divided into two sections which can be described as policy/procedure and practice. Policy/procedure focuses on written policies and procedures that the company has in place, including some of the resources necessary to carry them out. Practice focuses on the physical aspects of the trucks to be used and the equipment required. Some companies will decide to address those sections at the same time. Others will handle them separately. The models below are intended to provide examples of how this issue can be approached, but are not expected to be all-inclusive.

(b) Definitions

1. TAPA TSR Certified: A trucking company which meets all of the required policy, procedure and practice standards under the TSR or, LSP which meets all of the required policy and procedure standards under the TSR and which has a formal contract with one or more carriers which meet the practice standards.
2. TAPA TSR Service Partner: This designation is not a certificate, but it provides for written recognition that a carrier has met the practice standards in the TSR and is therefore qualified to serve as a TSR carrier for any TAPA TSR Certified company.

Note: *It is intended that the concept of mutual recognition will apply. A TSR certified LSP or trucking company may utilize the services of another TAPA TSR Certified company, or a TAPA TSR Service Partner may utilize the services of another TAPA TSR Service Partner and previous audit results and status will be mutually recognized.*

Model #1: TRUCKING COMPANIES:

This model expects that the applicant is asset based, meaning that they both own and operate trucks which will be utilized under the TSR. This is the simplest approach to TSR Certification. The applicant for certification will arrange for one comprehensive audit, including policies, procedures and practices, and inspection of trucks in accordance with the truck inspection requirements. If the audit is completed successfully, the IAB will issue a certificate indicating that the applicant is now TAPA TSR Certified. The IAB will advise TAPA of the scope of the audit and the results. For example, some companies may choose to certify their entire fleet. Others may certify only part of the fleet for certain uses. The level of certification (TSR 1, 2, or 3) will also be defined on the certificate.

Model #2: LOGISTICS SERVICE PROVIDERS:

The assumption is that they do not own their own trucks and will be contracting formally with other carriers to provide services under the TSR. This model will therefore require that the audit be accomplished in two distinct parts, although they may be done at the same time and in the same location if that can be arranged. The LSP will be responsible for all of the policy and procedure issues under the TSR. The contracted carrier(s) will be responsible for the practice issues in the TSR. (It is possible for the LSP and the carrier to share some responsibilities, but all

standards must be met and the LSP will own the overall responsibility for conformance.) The relationship between the LSP and the carrier(s) must be defined contractually between the parties. In some instances, an LSP may utilize multiple carriers to carry out necessary functions, so there would be one audit on policy and procedure at the LSP, and separate audits at each carrier. Under Model #2, Certification will differ. The LSP, unless it owns or lease its trucks, must contract with service providers in order to carry out TSR functions.

Carriers audited through the TSR will receive a statement from TAPA specifying that they have met the practice standards of the TSR and are recognized as a TAPA Service Partner under their contractual agreement with the certified LSP. This recognition does not stand alone, however, the carrier may contract with another TAPA TSR Certified company and will not be required to obtain another audit as long as their original TAPA Service Partner recognition is valid. If the carrier has no relationship with a certified LSP, its recognition is suspended automatically until such a relationship is formalized. Clearly, this model can be complex, so applicants should feel free to request clarification from TAPA through their appointed IAB. If there is any question about the certification model or carrier recognition, applicants should request clarification to avoid problems later. A cover letter, from TAPA, will define the certification based upon the audit and the scope and will be referenced on the certificate. Through the IAB, TAPA will issue cover letters with each certificate and each recognition, defining the scope of the certificate. The scope of the certification will also be referenced on the certificate.

3. Certification



(c) Truck Audits

Under the practice section of the TSR, trucks must be physically inspected by the approved Authorized Auditor. TAPA recognizes that taking trucks off the road for inspection can be expensive and time consuming for the carrier. The Authorized Auditor must be pre-advised (30 days) with the vehicle register of trucks to be certified from which they may choose a sample of trucks to be inspected. The Authorized Auditor should provide a list three times larger than the actual number to be inspected from which the carrier may select the actual trucks to be inspected. To minimize that expense, and yet maintain the validity of the audit process, two functions must occur:

1. The following minimum inspection standards must be met:
 - A. A carrier must ensure a minimum of ten trucks are included and maintained in their TSR scheme to be eligible for TSR Certification or TAPA TSR Service Partner status. A carrier with less than ten trucks may approach other carriers to include their trucks in other qualifying TSR schemes but such carriers are governed by the terms and conditions imposed by the hiring carrier's own TSR scheme and no direct relationship with TAPA or an IAB is possible.
 - B. Size categories and IAB inspection requirements for TSR carriers. The category is an indication of the quantity of trucks in a carrier's scheme but can be a combination of different TSR levels or all the same TSR level. The intention is to allow carriers to introduce additional trucks and change security levels in a flexible but controlled manner.

- I. Category : Small = Carriers with ten (10) trucks or more but less than thirty (30) trucks, four (4) trucks must be inspected by an IAB
 - II. Category: Medium = Carriers with thirty-one (31) to one hundred (100) trucks, six (6) must be inspected by an IAB
 - III. Category: Large = Carriers with more than one hundred (100) trucks, 7% of all trucks must be inspected by an IAB
- C. The carrier is required to maintain a vehicle log of all trucks registered under the TSR.
 - D. Changes to the number of TSR trucks during the 3 year certification/approval cycle shall be recorded in the vehicle log. Additional inspections by an IAB may be required if the following criteria is realized on the anniversary of the TSR Certificate or Approved Service Partner letter being issued.
 - I. TSR Category: Small - as long as total trucks in the vehicle log do not exceed 30 then no requirement for inspection by an IAB.
 - II. TSR Category: Medium - 7% of any additional trucks added to vehicle log to be inspected by an IAB. If trucks quantity exceeds 100 then carrier becomes a category Large
 - III. TSR Category: Large - 7% of any additional trucks added to vehicle log to be inspected by an IAB

- E. Both the Buyer and TAPA reserve the right to conduct their own audits to confirm that all appropriate trucks in the Vehicle Log meet the requirements of the TSR.
- F. If TAPA receives a formal complaint concerning the performance of the carrier and questions their conformance with the TSR, TAPA, subject to validation, may require that the carrier contract for a re-audit at the carrier's expense. Should the carrier fail the audit, or refuse to comply with this process, their certificate may be withdrawn.

(d) Use of the TAPA Brand:

A Company granted TAPA TSR certification may publish that fact in its publicity and on its vehicles, but only on those vehicles specifically listed on its TSR vehicle log and kept current with all required TSR standards. TAPA reserves the right to control use of its brand and will supply approve logo images for various applications. Guidance for use of the TAPA brand is available on the TAPA website.

4. Guidance for Truck Security Levels, Self-Audits and Self-Assessments



(a) TSR Levels

Three security levels for vehicles reported in the vehicle log are specified in the TSR with TSR Level 1 being the highest level of security under the TSR and TSR Level 3 being minimum acceptable security requirements.

- Some Buyers may require TSR 1 for their cargo, while other Buyers might find TSR 2 acceptable for the same cargo. A Buyer might require TSR 2 for some of their cargo, and TSR 3 for other cargo.
- Formal subcontracting of loads includes the contractual requirement that the subcontracting carrier meet all noted TSR standards. If the truck is not in the TSR vehicle log, it cannot be used.
- The Buyer must determine the TSR level and notify the LSP as to which TSR Level applies. Where Buyer has not notified the LSP of the required TSR Levels, then all trucks operated for the movement of Buyer's assets will default to TSR Level 3

(b) TSR Self-Audits (Applicable For TAPA Certified Carriers)

- The LSP will ensure they have an internal audit process in place in order to conduct interim audits for years two and three between formal audits conducted by an IAB
- TSR self-audits will be completed by the LSP or their agents and must be reported to the original IAB within 90 days of the anniversary date of the original certification. Failure to comply will result in suspension of the original certification until the self-audit is properly completed.
- Gaps identified in the TSR self-audit are to be recorded and should be documented, assigned a due date for completion of corrective action and tracked to closure within 30 days
- Buyer has the right to verify LSP's TSR self-audit results on routes carrying Buyer cargo by assessing the operation themselves or by reasonable communications with the LSP's own assessors

5. Waivers



(a) Waivers

In exceptional circumstances, the Authorized Auditor may be confronted with a waiver request for a specific security requirement in part or whole on behalf of the LSP. Each waiver must be submitted via the IAB to the TAPA Regional Waiver Committee for approval.

In the first instance it is the Authorized Auditor's responsibility to decide whether the request is valid and that substantial mitigating reason(s) exist that led to the waiver application. Request for waivers are more likely to be approved by the TAPA Regional Waiver Committee if alternative security controls are introduced to mitigate the security exposure.

Waivers are valid for up to a maximum of 3 years. The original requirement must be completed on the expiration date of the waiver or requested and approved again.

(b) Waiver Process

- I. LSP considers a specific requirement in the TSR is not required from a security standpoint
- II. LSP completes and submits Waiver Request form to Authorized Auditor. One form must be completed for each TSR Waiver Request
- III. Authorized Auditor reviews Waiver Request(s) and determines if request is valid
- IV. Authorized Auditor submits the Waiver Request form to the TAPA Regional Waiver Committee
- V. If approved:
 - *1 Waiver specifics are documented and signed by an authorized person on the TAPA Regional Waiver Committee
 - *2 The TAPA Regional Waiver Committee assigns date for how long waiver will be approved and sends copy to the IAB
 - *3 The IAB will notify the LSP of the outcome of the Waiver Request
 - *4 LSP shall meet all requirements of waiver in the agreed upon time frame. Failure to do so shall result in the removal of the waiver approval.
- VI. If not approved: LSP required to implement full requirement of TSR.

Annex 1 Trucking Security Requirements



TAPA TSR 2014 POLICY AND PROTOCOLS required for all 3 levels

SECTION A	'MANAGEMENT SUPPORT AND RESPONSIBILITIES' PROTOCOLS	Level 1	Level 2	Level 3
A.1 - Security Management	The LSP (Logistics Service Provider) must have a formally appointed person responsible for supply chain security who is also responsible for monitoring the TSR programme.	✓	✓	✓
A.2 - Security Policy	The LSP must have a written corporate supply chain security policy (Security Policy) in place and adopted by management.	✓	✓	✓
A.3 - Security Procedures	Specific procedures for the handling of high value theft targeted (HVT) cargo must be in place, and in alignment with TSR procedures.	✓	✓	✓
A.4 - Subcontracting	The specific HVT and TSR procedures are also applicable to the LSP's subcontractors and must be reflected in a formal agreement between all parties.	✓	✓	✓
A.5 - Investigations	The LSP must document a written and implemented policy, which is shared with Buyers, for ensuring that all freight losses are investigated. This shall include, but not be limited to, notifying Buyer of losses and starting investigations on losses where theft is suspected or known to be the cause within 24 hours. The Buyer, or appointed agent, will receive full cooperation in the investigation.	✓	✓	✓
A.6 - LEA contacts	The LSP must maintain a listing of critical law enforcement (LEA) contacts within its routes and must document a procedure, both for its main office and for drivers, for how to contact and coordinate with law enforcement when a theft event occurs.	✓	✓	✓
A.7 - Collection and Delivery Records	The LSP must maintain records of all collections and proof of deliveries, for a period of not less than two years that can be accessed when investigation of loss is necessary.	✓	✓	✓
A.8 - Risk Analyses	The LSP must have a programme in place to perform security risk analyses of routes and stops at least once a year, to assure that the safest routes are chosen to minimize passage and stops, in areas at high risk for crime, for cargo carried under the TSR requirements. This information must be provided to the Buyer if requested.	✓	✓	✓
A.9 - Secure locations to park	The LSP must have a policy in place to identify and implement the use of secure locations for parking as specified in TSR 1, 2 and 3.	✓	✓	✓

Annex 1 Trucking Security Requirements



TAPA TSR 2014 POLICY AND PROTOCOLS required for all 3 levels

SECTION B	VETTING AND TERMINATION PROTOCOLS	Level 1	Level 2	Level 3
B.1 - Screening/ vetting own employees	Applicants required to disclose previous employment history, gaps in employment, criminal convictions, job terminations in similar/ same industry, job related qualifications. (within constraints of local law).	✓	✓	✓
	Procedure for dealing with applicant/employee's false declaration pre & post hiring.	✓	✓	✓
	The procedure must identify the person / resources responsible for conducting the vetting / screening process, which includes, but is not limited to, criminal history and employment checks and verification of information provided by the applicant.	✓	✓	✓
	Denial criteria must be documented. Procedures shall be within constraints of local law.	✓	✓	✓
B.2 - Screening/ vetting (TAS) Temporary Agency Staff	The LSP will have agreements in place to have the required vetting/ screening information supplied by the agency and/or subcontractor providing TAS workers, or shall conduct such screening themselves. The vetting/ screening must cover criminal history and employment checks of each TAS worker.	✓	✓	✓
	TAS worker required to sign declaration that they have no current criminal convictions or pending cases and will comply with the LSP's security procedures.	✓	✓	✓
	Procedure for dealing with TAS worker's false declaration.	✓	✓	✓
	TAS worker denial criteria documented. Procedures shall be within constraints of local law.	✓	✓	✓
B.3 - Termination of Workforce	The LSP has robust documented procedures in place for termination of workforce. Termination procedures for workforce to include return of ID's, access cards, keys and other sensitive information and/or equipment.	✓	✓	✓
B.4 - Protection of Buyer's data and records	Procedures are in place to prevent terminated workforce from having access to Buyer's data and records.	✓	✓	✓
B.5 - Procedures for re-hiring of Workforce	Procedures are in place to prevent LSP from re-hiring any person if denial/termination criteria are still valid.	✓	✓	✓
B.6 Timing of Protocols	Hiring and termination procedures are audited, at least annually, and gaps addressed.	✓	✓	✓

Annex 1 Trucking Security Requirements



TAPA TSR 2014 POLICY AND PROTOCOLS required for all 3 levels				
SECTION C	TRAINING PROTOCOLS	Level 1	Level 2	Level 3
C.1 - Security Training	The LSP must have a programme in place to train their workforce in security which, as a minimum, shall include threat awareness, robbery response, vehicle checking, recognition of developing threats, use of secure parking, appropriate responses to threatening events and communication with police and management.	✓	✓	✓
C.2 - Monitoring Centre Staff Training	The LSP must have a programme in place for staff to include training, appropriate use of tracking devices and other security equipment, and alarm protocols as mentioned in section D. OR have a contract in place with a recognized service provider requiring same.	✓	✓	✓
SECTION D	TRACKING AND TRACING PROTOCOLS	Level 1	Level 2	Level 3
D.1 - Response to alerts and systems failure	Response protocols for alerts must be reviewed at least annually and contact details kept current. Protocols must include specific responses, including protocols for responding to tracking system failure.	✓	✓	✓
D.2 - Response protocols	Response protocols must include communications with law enforcement, advice for driver, allocations of resources to the site of the event as needed, and protection of any cargo that remains and is vulnerable.	✓	✓	✓
SECTION E	ON ROUTE PROTOCOLS	Level 1	Level 2	Level 3
E.1 - Escalation procedures	The LSP must have documented procedures in place to protect HVT cargo in case of security incidents, driver illness, vehicle breakdown, strikes, detours, accidents, bad weather or refusal to accept delivery.	✓	✓	✓

Annex 1 Trucking Security Requirements



TAPA TSR 2014 REQUIREMENTS PRACTICE LEVEL				
SECTION 1	PHYSICAL SECURITY	Level 1	Level 2	Level 3
1.1. Truck Security	1.1.1. - Driver procedures require that truck doors are locked during transit.	✓	✓	✓
	1.1.2. - Truck door keys restricted to driver and carrier management.	✓	✓	✓
	1.1.3. - Auditory alarm if unauthorized entry to tractor cab occurs.	✓		
1.2. Trailer Security	1.2.1. - High quality stainless steel security locking devices such as built-in locks OR mobile heavy weight locking devices with integral locks fixed to all truck/trailer doors (no chains, cables, light-weight bars, removable bolts, etc.) and utilized during the entire journey. Locks can be electronically or manually operated, must be unique and must be designed to resist defeat for not less than ten minutes with hand tools.	✓		
	1.2.2. - High quality stainless steel security locks either firmly fixed to all truck/trailer doors OR use of high quality chains, bars, padlocks etc. and utilized during the entire journey. Locks can be electronically or manually operated, must be unique and must be designed to resist defeat with hand tools.		✓	
	1.2.3. - Doors secured in line with LSP's own internal policy.			✓
	1.2.4. - Only hard sided trailers utilized.	✓	✓	
	1.2.5. - Soft sided trailers as a minimum.			✓
	1.2.6. - Tamper evident security seals for FTL (full truckload and indicates that the cargo is dedicated for one Buyer) electronic or manual that meet the ISO 17712 standard.	✓	✓	
	1.2.7. - Trailer immobilization device in place when trailer is dropped (kingpin, landing gear lock or brake line lock).		✓	✓

Annex 1 Trucking Security Requirements



TAPA TSR 2014 REQUIREMENTS PRACTICE LEVEL

SECTION 2	TRACKING TECHNOLOGY	Level 1	Level 2	Level 3
2.1. Two Way Communication Systems	2.1.1. - Two way communication system present during entire journey.	✓	✓	✓
	2.1.2. - Two way communication system monitored 24/7 by carrier's office or 3rd party monitoring centre.	✓	✓	
2.2. Tracking And Tracing Systems	2.2.1. - Carrier must have detailed and documented protocol in place to track trailers and tractors, both tethered and as separate vehicles, including 24/7 monitoring, the ability to geofence routes and parking locations and documented response protocols for handling emergencies.	✓		
	2.2.2. - Carrier must have detailed and documented protocol in place to track tractors, the ability to geofence routes and parking locations and documented response protocols for handling emergencies.		✓	
	2.2.3. - Carrier must have detailed and documented protocol in place to check, prior to departure, the function and battery life of all tracking devices to be utilized.	✓		
	2.2.4. - A tracking device must be installed in a covert location in the tractor and, where available, must be capable of utilizing at least two methods of signalling such as 3G, or SMS/GPRS using GSM or CDMA and must be equipped with at least one covert antenna.	✓	✓	
	2.2.5. - A tracking device must be installed in a covert location in the trailer and, where available, must be capable of utilizing at least two methods of signalling such as 3G, or SMS/GPRS using GSM or CDMA and must be equipped with at least one covert antenna.	✓		
	2.2.6. - Monitoring centre must be able to control, over the air, the "reporting" rate for devices in both tractor and trailer.	✓		
	2.2.7. - Standard "reporting rate" for tracking units in both the tractor and the trailer must be not less than one report every five minutes. (Note: If the tractor and trailer are tethered and an effective untethered alert system is in place, only one of the units must meet this "reporting" rate standard).	✓		
	2.2.8. -Standard "reporting rate" for tracking unit in the tractor must be not less than one report every thirty minutes.		✓	
	2.2.9. - The tracking devices in the trailer and the tractor must report events to include untethering (unhooking) of the trailer, device tampering, truck stoppage, tracker battery status and trailer door opening.	✓		
	2.2.10. - The trailer and tractor tracking devices must be equipped with a battery back-up capable of maintaining the signalling capacity of the tracker for not less than 24 hours at a "reporting" rate of not less than one "reporting" every five minutes while the trailer is untethered.	✓		
	2.2.11. - A tracking device is installed providing remotely stored archival information relating to the position of all FTL (full truckload, Supplier dedicated) trucks.			✓

Annex 1 Trucking Security Requirements



TAPA TSR 2014 POLICY AND PROTOCOLS REQUIREMENTS				
SECTION 2	TRACKING TECHNOLOGY	Level 1	Level 2	Level 3
2.3. Satellite Navigation Systems (route planner)	2.3.1. - Satellite navigation system installed (route planner) recognizing detours, traffic jams, etc. to avoid unnecessary stops or delays. Carrier's dispatch must confirm all route changes.	✓	✓	✓
2.4. Silent Alarm System	2.4.1. - Manually activated silent alarm (panic button) present in reach of driver and able to send signal to the LSP's home base or third party monitoring centre.	✓	✓	
	2.4.2. - Procedures in place, tested and reviewed at least every six months, for responses to activation of silent alarm by driver.	✓	✓	
2.5. Trailer Door Alarms	2.5.1. - Unauthorized opening of trailer doors sends signal to monitoring centre.	✓		
	2.5.2. - Procedures in place, tested and reviewed at least every six months, for responses to activation of alarm signal indicating unauthorized opening of trailer doors.	✓		
2.6. Tamper Alarms	2.6.1. - The tracking system must alert if the tracking device fails or GPS signal is lost.	✓		
	2.6.2. - Procedures in place, tested and reviewed at least every six months, for responses to failure of tracking device.	✓		
2.7. Track And Trace Coverage	2.7.1 - Coverage maps of the tracking technology to be utilized must be validated at least every six months to avoid or minimize travel through known "black spots".	✓		
	2.7.2 - Coverage maps to be consulted and documented as part of route planning risk assessment.	✓		
	2.7.3 - Route planners must develop responses to events which occur within "black spots".	✓		

Annex 1 Trucking Security Requirements



TAPA TSR 2014 POLICY AND PROTOCOLS REQUIREMENTS				
SECTION 3	SECURITY PROCEDURES	Level 1	Level 2	Level 3
3.1. Scheduled Routing	3.1.1. - The LSP has planned route.	✓	✓	✓
	3.1.2. - The LSP has planned stops.	✓	✓	
	3.1.3. - Ad Hoc changes to routes and stops or delays due to unexpected events reported, if requested, to Buyer.	✓		
3.2. Vehicle Maintenance Programme	3.2.1. - Exceptions noted during the pre-departure check must be reported to LSP's home base and any delay or diversion resulting from the exceptions must be consistent with TSR standards. Procedures must be part of driver's manual/written instructions.	✓	✓	✓
	3.2.2. - The LSP must document vehicle maintenance programmes in accordance with manufacturer's specifications.	✓	✓	✓
3.3 Comfort breaks	3.3.1. - In case of an event requiring a non-scheduled stop, such as a medical emergency, accident or breakdown that requires that the driver leave the vehicle, driver must notify dispatch, lock all doors and engage all security devices. The tracking monitoring centre must also be notified and the truck and/or shipment live monitored constantly until it is able to return to transit. In case of an extended unplanned stop, the carrier must have a protocol in place to provide protection for the shipment.	✓		
	3.3.2. - If driver must leave truck and trailer, all doors must be locked and alarms (where fitted) must be activated.		✓	✓
3.4. Secure Parking	3.4.1. - Listed approved parking facilities, stopping places and prohibited parking/stopping places part of driver's manual/instructions.	✓	✓	✓
	3.4.2. - Trucks in use under TSR 1 must never be left unattended unless at a pre-approved (with Buyer) defined secure parking area with fences, lights, guards, access control and CCTV.	✓		
3.5. Unauthorized Persons	3.5.1. - No unauthorized parties allowed in truck or trailer. The LSP must have policies and procedures in place to prevent unauthorized parties from being present in truck or trailer (like hitchhikers, friends, non-driving relatives, children, etc).	✓	✓	✓
3.6. Management Of Security Equipment	3.6.1. - The LSP must have documented and implemented procedures in place for management and control of seals, trailer (container) door locks, pin locks, and other security equipment.	✓	✓	✓

Annex 1 Trucking Security Requirements



TAPA TSR 2014 POLICY AND PROTOCOLS REQUIREMENTS				
SECTION 3	SECURITY PROCEDURES	Level 1	Level 2	Level 3
3.7. Key Management	3.7.1. - The LSP must have documented and implemented procedures in place for the secure management of keys for trucks, pad-locks, kingpin locks etc.	✓	✓	✓
3.8. Collection And Delivery Training	3.8.1. - The LSP to provide training on collection and delivery procedures for the drivers to prevent deception and fraud.	✓	✓	✓
3.9. Pre-Departure Checks Vehicle	3.9.1. - The LSP must document pre-departure checks that ensure road worthiness of the vehicle in accordance with local regulations. For LTL (multiple stops) routes, these checks are required only at first departure, or daily for multiple-day trips.	✓	✓	✓
3.10. Pre-Departure Checks Driver	3.10.1. - The LSP must document procedures to assure provision of drivers and equipment capable of moving the load to its first scheduled stop without preventable interruption (e.g. fuel, meal stops, planned repairs, regulated driving times, etc).	✓	✓	✓
3.11. TSR Vehicle Logs	3.11.1. - Vehicles to be utilized under the TSR must be listed in the LSP's TSR vehicle log. There is no specific format for the log, however, it must include at least the following information: Tractor identification information, trailer identification information, TSR level, date(s) of audits and self-assessments, any exceptions, corrections, date of correction.	✓	✓	✓
SECTION 4	EMPLOYMENT CRITERIA	Level 1	Level 2	Level 3
4.1. Screening/vetting	4.1.1. - Section B of POLICY AND PROTOCOL, Vetting and Separation Protocols, must be applied.	✓	✓	✓
SECTION 5	DRIVERS/SECURITY TRAINING	Level 1	Level 2	Level 3
5.1. Security Training	5.1.1 - Security Threat Awareness training programme conducted annually with drivers and documented in driver records. This training, as a minimum, shall include threat awareness, robbery response, vehicle checking, recognition of developing threats, use of secure parking, appropriate responses to threatening events and communication with police and management.	✓	✓	✓

Annex 1 Trucking Security Requirements



TAPA TSR 2014 POLICY AND PROTOCOLS REQUIREMENTS				
SECTION 6	FREIGHT HANDOVER PROCESS	Level 1	Level 2	Level 3
6.1. Box and pallet integrity verified upon receipt & delivery	6.1.1 - The LSP must have documented procedures verifying box and pallet counts before loading and after discharge. Documentation verifying these procedures must be retained for not less than two years.	✓	✓	✓
6.2. Proof of shipping and receiving records	6.2.1 - All cargo must be verified against shipping documents and manifests to ensure proper marking, weights, counts, and specific handling instructions (as applicable).	✓	✓	✓
	6.2.2 - Documents must be legible, complete and accurate, including (where appropriate) time, date, driver signature and printed name, signatures of shipping and receiving personnel, shipment details, and any special instructions.	✓	✓	✓
	6.2.3 - The LSP must maintain records of all collections and proofs of delivery for a period of not less than two years that can be accessed if investigation of loss is required.	✓	✓	✓
6.3. Driver to be present for loading and unloading	6.3.1 - Unless prohibited by shipper or receiver policies, the LSP's policy must document that drivers must be present for loading and unloading to confirm piece count. If shipper or receiver policies prohibit this practice, those policies must be available for audit.	✓	✓	✓
6.4. Pre-alert in place	6.4.1 Unless on Buyers exemption; pre-alert details must be agreed to by Buyer and LSP. Suggested details include: departure time, expected arrival time, trucking company, driver name, licence plate details, shipment info (pc count, weight, bill-of-lading number, etc.) and trailer seal numbers.	✓		
6.5. - Pre-alert capability in place	6.5.1 -Pre-alert capability procedures must be in place and documented for both pick-up and delivery, and must include, at a minimum, planned departure time, expected arrival time, trucking company name, driver name, licence plate pulling unit, generic shipment description to include piece count, weight, and (for delivery), trailer seal numbers.		✓	✓

Annex 1 Trucking Security Requirements



TAPA TSR 2014 POLICY AND PROTOCOLS REQUIREMENTS				
SECTION 7	LSP SELF ASSESSMENT	Level 1	Level 2	Level 3
7.1. Self-Assessment of vehicle before being added to the TSR Vehicle Log	7.1.1 - The LSP must have documented evidence that all vehicles (trucks & trailers) in the TSR Vehicle LOG have been assessed and are meeting the requirements of the TAPA TSR 2014 (Section 7 - Specifications for TSR Certification or Recognition (Practice)).	✓	✓	✓
7.2. On Going Assessment to ensure compliance to the TSR section 7	7.2.1 - The LSP must have documented evidence that all subsequent self-assessments by the carrier (fixed or rolling programme - covering all vehicle in the TSR Vehicle Log) are self re-assessed at least once every 12 months by the carrier and associated records retained for audit purposes.	✓	✓	✓

Annex 1 Trucking Security Requirements



BUYER OPTION: PORTABLE UNITS FOR THE TRACKING OF CARGO

SECTION 8 OPTIONAL - NOT MANDATORY	BUYER OPTIONAL (NOT MANDATORY) CARGO TRACK AND TRACE REQUIREMENTS. These are Buyer requested and/or the LSP provided enhancements that can be incorporated into TSR 1-3 levels as an optional extra. This option does not exclude use of any mandatory requirements (sections 1-7) that are needed to meet TSR Certification requirements."
8.1 . BUYER OPTION FOR PORTABLE TRACK- ING OF CARGO	8.1.1. - Portable Tracking Devices must be capable of sending tracking information to a monitoring centre.
	8.1.2. A protocol must be in place to place the Portable Tracking Device and the device must be tested before leaving to assure its function and battery status.
	8.1.3. - The location of the Portable Tracking Device may need to vary, depending upon the type of cargo, and a protocol must be in place to define this practice.
	8.1.4. -Portable Tracking Devices can be monitored "live " or "alarm" driven. Which option to utilize is to be decided between the Buyer or LSP.
	8.1.5. - The monitoring centre must demonstrate a comprehensive response protocol for any and all alerts generated by the Portable Tracking Device, including route deviations, unapproved or unexpected movement, loss of signal due to location or jamming, reduced or lost battery power, or a theft notification from the carrier.
	8.1.6. - Response protocols must include a documented process for the engagement of law enforcement, a clear understanding of the law enforcement resources available and how to work with them, and a follow-up protocol to assist law enforcement throughout the investigation of any loss, including the sharing of tracking information. Simply notifying law enforcement of the loss is not acceptable.
	8.1.7. - The Portable Tracking Device must demonstrate at least two of the following: geofencing, start-stop monitoring, alerts for no-stop zones, and critical waypoints.
	8.1.8 - The frequency of signal from the Portable Tracking Device should be determined by the Buyer, but with a minimum of 1 report per hour.

Annex 2 Waiver Request Form



DATE OF REQUEST		LSP	Waiver #:
FACILITY LOCATION			
NAME OF PERSON REQUESTING WAIVER		Position	
SIGNATURE			
NAME OF AUDIT BODY		NAME OF AUDITOR	
THE REQUIREMENT FOR WHICH WAIVER IS BEING REQUESTED AND FOR WHICH STANDARD (ONE REQUIREMENT ONLY, USE ADDITIONAL REQUEST FORMS IF NECESSARY):			
REASON FOR WAIVER REQUEST:			
ALTERNATIVE ACTIONS IMPLEMENTED OR PLANNED TO REDUCE RISK :			
This Section For TAPA Use Only			
Waiver Approved (Y/N)			
Date Waiver Commenced			
Date Waiver Expires (maximum 3 year)			
Approved By (Name):			
Approved By (Signature):			
Date:		Waiver Reference #	

TSR2014