

# TSR2017



## TRUCKING SECURITY REQUIREMENTS

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**TAPA**  
Transported Asset Protection Association



# Trucking Security Requirements TSR 2017

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## Introduction

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### 1. Introduction

#### Purpose of this TSR Document

This Trucking Security Requirements (TSR) document is the official TAPA Standard for secure trucking services. It is a common global Standard that can be used in business / security agreements between Buyers and Logistics Service Providers (LSPs) and/or other Applicants seeking Certification

In the development of this Standard, TAPA recognizes 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/Applicant. Depending on the complexity and size of the supply chain, compliance with TAPA Standards may be achieved through a single LSP/Applicant or multiple LSPs/Applicants and qualified subcontractors.

#### Scope

The TSR may apply to the following:

- All cargo required to be transported in accordance with the TAPA TSR
- Leased or owned trucks
- LSP/Applicant operated or subcontracted trucks
- All types of truck designs (e.g.: tractor/trailer, cargo van, box truck, etc.)

#### Audience

Typical users of the TAPA Standards include:

- Buyers
- LSPs/Applicants
- Law Enforcement or other government organizations
- Professional Supply Chain Organizations

#### Glossary

A Glossary containing definitions of terms and acronyms used throughout this TSR appears in Appendix A.

## Introduction

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### Resources to Implement the TAPA TSR

The resources to meet the requirements of the TSR shall be the responsibility of the LSP/Applicant and at the LSP's/Applicant's own expense, unless as negotiated or otherwise agreed upon by Buyer and LSP/Applicant.

### Protecting LSP Policies and Procedures

Copies of security policies and procedures documents will only be submitted to Buyer in accordance with signed disclosure agreements between LSP/Applicant and Buyer and shall be handled as confidential information.

## About TAPA

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### 2. About TAPA

#### TAPA's Purpose

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

The threat is no longer only from opportunist criminals. Today, organized crime rings are operating globally and using increasingly sophisticated attacks on vehicles, premises, and personnel to achieve their aims.

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. TAPA's primary focus is theft prevention through the use of real-time intelligence and the latest preventative measures.

#### TAPA's Mission

TAPA's mission is to help protect members' assets by minimizing 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.

#### TAPA Contact Information

TAPA consists of three regions (Americas, Asia Pacific, and EMEA) to provide service to all its global members. For more information, please go to:

- TAPA Global:  
[www.tapa-international.org](http://www.tapa-international.org)
- Americas:  
[www.tapaonline.org](http://www.tapaonline.org)
- Asia Pacific:  
[www.tapa-apac.org](http://www.tapa-apac.org)
- EMEA  
[www.tapaemea.org](http://www.tapaemea.org)

### 3. TAPA Standards

#### TAPA Security Standards

The following global TAPA Security Standards have been created to ensure secure transportation and storage of high-value theft-targeted cargo:

- The Facility Security Requirements (FSR) represents minimum Standards specifically for *secure warehousing, or in-transit storage*, within a supply chain.
- The Trucking Security Requirements (TSR) focuses exclusively on transport by truck and represents minimum Standards specifically for *transporting products via road* within a supply chain.

TAPA global Security Standards are reviewed and revised as needed every three years.

This document addresses the TSR only, and explains TAPA TSR Certification in Section 6.

#### Implementation

Successful implementation of the TAPA Security Standards is dependent upon LSPs (Logistics Service Providers)/Applicants, Buyers (owners of the cargo), and TAPA Authorized Auditors working together.



## Legal Guidance

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### 4. Legal Guidance

#### Scope

The TSR is a Global Standard and all sections of the Standard are mandatory unless an exception is granted through the official waiver process. (See Section 8.)

#### Translation

In geographical areas where English is not the first language, and where translation is necessary and applicable, it is the responsibility of the LSP/Applicant 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.

#### The “TAPA” Brand

“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.

#### Limits of Liability

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 of cargo in transit under the TSR Standards will be for the account of the LSP/Applicant 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.

## Contracts and Subcontracting

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### 5. Contracts and Subcontracting

#### Contracts

The safe and secure transportation, storage, and handling of the Buyer's assets is the responsibility of the LSP/Applicant, its agents and subcontractors throughout the collection, transit, storage, and delivery, as specified in a release or contract.

Where the TSR is referenced or included in the contract between the LSP/Applicant and Buyer, it shall also be referenced in the LSP's/Applicant's security program.

LSP/Applicant shall provide Buyer with evidence of TSR Certification and, where appropriate, evidence that TSR requirements have been met. Further, any alleged failure by the LSP/Applicant to implement the TSR requirements shall be resolved according to the terms of the contract negotiated between the Buyer and the LSP/Applicant.

#### Subcontracting

Subcontracting of loads includes the contractual requirement that the subcontracting carrier meets all noted TSR Standards. If the truck is not listed in the TSR Vehicle Register, it cannot be used.

## TAPA TSR Certification/Re-Certification

### 6. TAPA TSR Certification/Re-Certification

#### TSR Classification Levels

Three classification levels (for vehicles reported in the Vehicle Register) are specified in the TSR:

- Level 1 = highest security protection
- Level 2 = mid-level security protection
- Level 3 = lowest security protection

LSP/Applicant may initially achieve certification at Level 3, and then progress up to Level 2 or 1, as improvements are made. Additionally, as negotiated between Buyer and LSP/Applicant, trucking performed in high-risk countries may require Level 1, while all other countries are classified at Level 2 or 3. In all cases, it is the responsibility of the Buyer to negotiate the Classification Level directly with the LSP/Applicant, depending on their specific cargo and risks.

#### TSR Certification Options

Trucking services can involve complex business arrangements with LSP/Applicant owned assets, contracted, or a combination of both. To address this complexity, TAPA has developed 3 options to support certification.

**Table 1**

Option		Description	Level	Auditor Type*
1.	IAB Certified	LSP/Applicant is certified via traditional process.	1, 2, or 3	TAPA IAB AA
2.	Self-Certified	LSP/Applicant is self-certified.	3	LSP/Applicant
3.	TAPA TSR Service Partner (TTSP)	<ul style="list-style-type: none"> <li>• Usually a subcontracted trucking fleet</li> <li>• Reduced Policy &amp; Procedure requirements</li> <li>• Must comply with all Practice Requirements</li> </ul>	1 or 2	TAPA IAB AA
			3	LSP/Applicant

\* See Glossary Definitions: Authorized Auditor (AA)

Regardless of the business relationships, TSR certified operations must use trucks that are formally included within one or more parties' TSR certification scheme. Some companies may choose to certify their entire fleet. Others may certify only part of the fleet for certain uses.

## TAPA TSR Certification/Re-Certification

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**These options are described in more detail below.**

### **Option 1: IAB Certification (Levels 1, 2, and 3)**

The IAB will advise TAPA of the audit scope and results. If the audit is completed successfully, the IAB issues a certificate indicating the applicant is now TAPA TSR Certified.

The level of certification (Level 1, 2, or 3) will be defined on the certificate.

### **Option 2: Self-Certification (Level 3 Only)**

Level 3 Self-Certifications must be performed by an Authorized Auditor (AA). An AA can be an internal employee / associate, trained and authorized by TAPA as a TSR AA. Regardless of which type of auditor is used to conduct the Self-Certification, the completed audit form must be submitted to TAPA to receive the TSR Level 3 certification.

### **Option 3: TAPA TTSP Recognition (Levels 1, 2, or 3)**

TTSP Recognition is achieved for Level 1 and Level 2 utilizing an approved Independent Audit Body (IAB). For Level 3, the LSP/Applicant can utilize an IAB or the Self-Certification process.

TTSP Recognition requires compliance / certification with Policies and Procedures: Section E (Workforce Integrity) and the entire “Practice” requirements section.

TTSP may be the preferred option for smaller LSPs/Applicants who wish to contract a portion of their trucks to larger LSPs/Applicants that require TSR certification.

“Note: TSR certificate holders are responsible to ensure any TTSPs they incorporate into their scheme hold a valid TTSP recognition letter (i.e., they only use compliant TTSPs) issued by an approved IAB or TAPA”

## **General Information**

The LSP/Applicant shall ensure the appropriate auditor, trained/qualified on the current TSR, is engaged to complete the audit and certification process. See Table 1 for options.

Before the certification audit is scheduled/commences, LSP/Applicant must inform the AA which Classification Level they are seeking in their certification process.

## TAPA TSR Certification/Re-Certification

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The audit is divided into the following two sections:

- “Policies and Procedures” requirements focus on written policies and procedures that the LSP/Applicant has in place, including some of the resources necessary to carry them out.
- “Practice” requirements focus on the physical aspects of the trucks to be used and the equipment required.

The audit tool is the current TSR Audit Form.

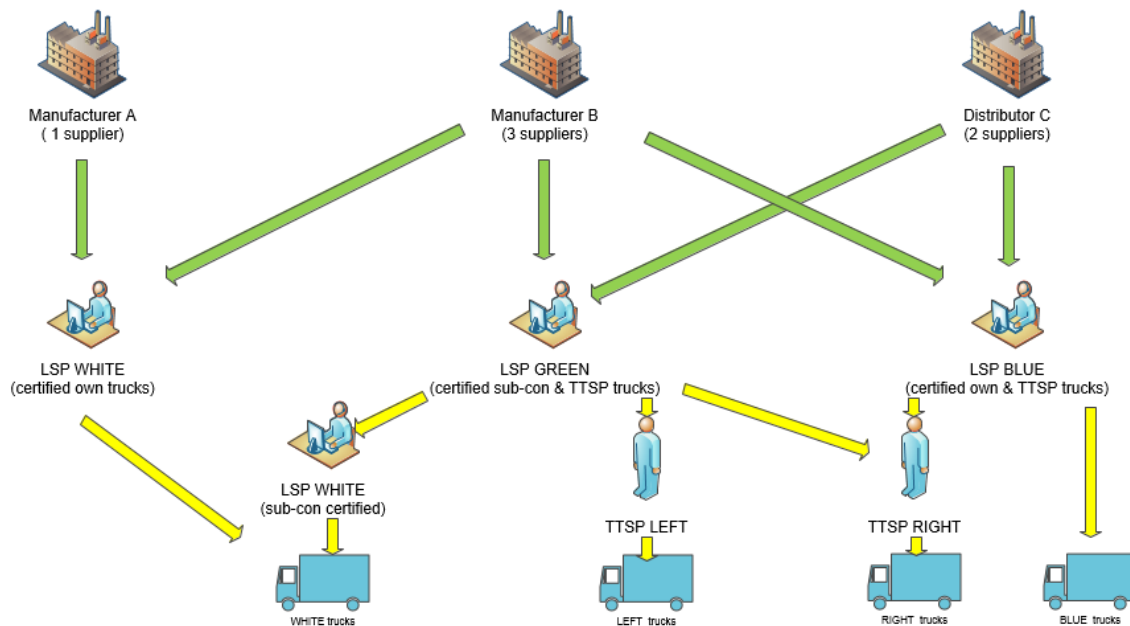
An informal summary of the findings/results should be shared with the LSP/Applicant during the audit closing conference. The AA shall inform the LSP/Applicant of audit results within ten (10) business days following the completion of the audit. Any delays in issuing the audit results must be promptly communicated to the LSP/Applicant and negotiated between the IAB and LSP/Applicant.

Costs for TAPA certification are the responsibility of the LSP/Applicant, unless otherwise negotiated with the Buyer(s).

### **Interaction of TSR Certification and TTSP Recognition Schemes**

The illustration in Fig 1, provides some examples of how TAPA TSR Certification and TAPA TTSP Recognition schemes can work together.

**Fig 1: Interaction of TSR Certification and TTSP Recognition Schemes**



## Truck Audits

Under the “Practice” requirements section of the TSR, the AA must physically inspect trucks. TAPA recognizes that taking trucks off the road for inspection can be expensive and time-consuming for the LSP/Applicant

Thirty days in advance, the LSP/Applicant must provide to the AA the vehicle register of trucks to be certified. From this list, the AA chooses a sample of trucks to be inspected that contains three times the actual number to be inspected. The LSP/Applicant may then select from this sample list the actual trucks to be inspected.

To minimize the expense, and yet maintain the validity of the audit process, the following functions must occur:

- LSP/Applicant must ensure a minimum of three (3) trucks are included and maintained in their TSR scheme to be eligible for TSR Certification or TAPA TSR Service Partner (TTSP) status. (Under certain conditions, the smaller LSPs/Applicants; i.e. those with fewer than 3 trucks, may have their trucks included in the schemes of other LSPs/Applicants who meet the TAPA requirements.

## TAPA TSR Certification/Re-Certification

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- The LSP/Applicant (Certified or TTSP status) is required to maintain a Vehicle Register of all trucks registered under the TSR.
- The Vehicle Register must include any new trucks added to the fleet since certification/re-certification.

### Size Categories and Inspection Requirements for TSR LSP/Applicant

The category is an indication of the quantity of trucks in an LSP's/Applicant's scheme, but can be a combination of different TSR Levels or all the same TSR Level. The intention is to allow LSP/Applicants to introduce additional trucks and change security levels in a flexible but controlled manner.

**Table 2: Audit Sample Size: Trucks**

Category	Number of Trucks Registered in Vehicle Register	Number of Trucks to be Audited
Small	3-30	3 of the registered trucks
Medium	31-100	7% of all registered trucks with a maximum of 6
Large	101-above	7% of all registered trucks with a maximum of 10

1. Trucks added to the Vehicle Register after the certification must be included in the Self-Audit submission. The sample set is adjusted to accommodate any new increases or reductions.
2. The sample set of trucks inspected must include any new trucks added to the fleet since certification/re-certification.
3. The concept of mutual recognition will apply. A TAPA TSR Certified LSP/Applicant or trucking company may utilize the services of another TAPA TSR Certified company or a TTSP and previous audit results and status will be mutually-recognized. No re-audit of a subcontractor's trucks or services covered by an existing TAPA TSR Certification or TTSP will be required.
4. The AA may request a new inspection if additional trucks have been added to the Vehicle Register. The total number of trucks in the Vehicle Register is taken at the time of the yearly Self-Audit. The AA decision making criteria for a scheduling a new inspection shall include the following: -
  - 30 or more trucks have been added to the Vehicle Register when compared to the previous year's total.

## TAPA TSR Certification/Re-Certification

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- AA can inspect up to 7% of the trucks that have been added to the Vehicle Register.
  - AA and LSP/Applicant to agree the actual trucks due for inspection in advance.
  - LSP/Applicant will ensure reasonable efforts are made to facilitate AA truck inspection.
5. Both the Buyer and TAPA reserve the right to conduct their own audits to confirm that all appropriate trucks in the Vehicle Register meet the requirements of the TSR.

## TSR Re-Certification

The TAPA TSR certificate shall be valid for a period of three (3) years with no extension permitted.

To prevent any lapse in certification, a re-certification audit must be performed prior to the expiration date of the current certificate. Completion of any SCARs must also occur within the original 60-day allotted period and prior to the current certificate's expiration date (see Corrective Action / SCAR in Section 7).

Therefore, to assure adequate planning and preparation, it is recommended that the LSP/Applicant schedule the re-certification audit three (3) months before the current certificate expiration date. If the TAPA TSR certificate is issued within the aforementioned three-month period, the date of the new certificate will be the expiration date of the current certification. If corrective actions are not closed prior to the expiration date, and there is no waiver granted, the certification will expire.

A LSP/Applicant or Buyer may request re-certification if either party considers the Classification Level to have changed.



## Audit Follow Up

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### 7. Audit Follow Up

#### Corrective Action / SCAR

If TSR requirements are not met, as discovered during the audit, the AA submits a Security Corrective Action Requirement (SCAR) to the relevant LSP/Applicant. The LSP/Applicant shall respond to the AA within ten (10) business days, documenting the action to be taken and the date the action will be completed. SCAR completion dates may be negotiated between the AA and the LSP/Applicant. However, unless the Regional TAPA Waiver Committee approves a waiver, corrective action implementation shall not exceed sixty (60) days from notification to the LSP/Applicant.

In all cases, the LSP/Applicant shall submit progress updates/reports on all outstanding SCARs to the AA. Any SCAR not completed before its due date shall be escalated by the LSP's/Applicant's Security Representative to the LSP's/Applicant's Management. The reason(s) for noncompliance shall be documented and communicated to the AA. LSP's/Applicant's failure to address a SCAR may result in the withholding of the TAPA certification. The LSP/Applicant has the right to appeal directly to TAPA if the certification is withheld. TAPA shall arbitrate the dispute between the LSP/Applicant and the AA and retains the right to issue a binding resolution to the dispute.

**Note: It is not necessary for the AA to re-audit the company in order to close a SCAR. Evidence of SCAR closure (i.e., achieving compliance) may be presented to the AA in the form of written correspondence, web meetings or conference calls, photographs, etc.**

#### Compliance Monitoring

##### Self-Audits

The LSP/Applicant will ensure they have an internal process in place in order to monitor compliance, in years two and three, in between formal audits conducted by an AA.

The interim Self-Audits must reflect the TSR requirements.

- For TAPA TSR certifications issued by an IAB: The interim Self-Audit must be documented on the TAPA audit form and submitted to the **IAB** within 30 days of the anniversary date of the original IAB certification.
- For Self-Certifications: The interim Self-Audit must be documented and submitted to **TAPA** within 30 days of the anniversary date of the original Self-Certification.

## Audit Follow Up

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Failure to comply will result in suspension of the original certification until the interim Self-Audit is properly completed. Gaps identified must be documented, assigned a due date for completion of corrective action(s), and tracked to closure within 60 days.

### Self-Assessments for Vehicles

In addition to the general requirements in the TSR, the LSP/Applicant must have documented evidence that all vehicles (trucks and trailers) listed in the TSR Vehicle Register comply with the physical requirements of the TAPA TSR 2017 “Practice Requirements” section.

### *Ongoing Assessment*

The LSP/Applicant must have documented evidence that all subsequent Self-Assessments (fixed or rolling program, covering all vehicles listed in the TSR Vehicle Register) are completed at least once every 12 months by the LSP/Applicant. Associated records are retained for audit purposes.

**Table 3: Audit & Compliance Monitoring Schedule**

Action	Frequency	A	B	C
Certification Audit (IAB/AA Certification Audit)	Every three (3) years	✓	✓	✓
LSP/Applicant Self-Certification Audit	Every three (3) years			✓
Self-Audits (interim compliance checks)	Annually at 1st and 2nd Anniversary	✓	✓	✓
LSP/Applicant Subcontractor Audit	In accordance with Buyer- LSP/Applicant contract	✓	✓	✓

### Buyer Visits to LSP/Applicant

The Buyer and the LSP/Applicant recognize the importance of working in partnership to reduce risk within the supply chain. Both parties agree to schedule Buyer visits with reasonable notice; e.g., 10 business days, with scope and parameters mutually-agreed upon in advance and/or in accordance with the Buyer- LSP/Applicant contract. Loss investigations; i.e., thefts, damage, etc., shall be performed in accordance with the Buyer-LSP/Applicant contract.

## TAPA Complaint Investigation and Resolution

If TAPA receives a formal complaint concerning the performance of a certified LSP/Applicant, TAPA (subject to validation) may require that the LSP/Applicant contract for a re-audit at the LSP/Applicant expense. If the LSP/Applicant fails the audit, or refuses to comply with this process, their certificate may be withdrawn.

## Waivers

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### 8. Waivers

#### Overview

A waiver is a written approval granted to either exempt a company from a specific TAPA requirement or to accept an alternative compliance solution. A waiver may be requested if an LSP/Applicant cannot meet a specific requirement in the TSR and can justify alternative measures. Waivers are valid for the period of the certification.

All waiver requests for a specific security requirement (either in part or whole) must be submitted via a TAPA Waiver Request form to the Independent Audit Body (IAB)/Authorized Auditor (AA) by the LSP/Applicant (see Appendix B: TAPA Waiver Request form). The requesting LSP/Applicant takes full responsibility for the accuracy of information provided in the waiver request.

Each waiver request must then be submitted through the IAB/AA to the TAPA Regional Waiver Committee for approval. It is the responsibility of the IAB/AA to decide if the request is complete and justifies processing by TAPA; this includes verification of mitigating factor(s) and/or alternative security controls.

Should TAPA officials and/or Buyers challenge that waiver conditions have changed, TAPA will complete a formal investigation and LSP/Applicant understands that the waiver may be revoked by TAPA

#### Waiver Business Process

If an LSP cannot meet a specific requirement in the TSR, the waiver process below is implemented.

**Table 4: Responsibilities: Waiver Application / Evaluation**

Step	Responsibility	Action
1.	LSP/Applicant	Establishes and verifies mitigation measures.
2.	LSP/Applicant	Completes TAPA Waiver Request form and submits to the IAB / AA. (See Appendix B.)
3.	IAB/AA	Reviews and verifies integrity of the information contained in the TAPA Waiver Request form.
4.	IAB/AA	Submits TAPA Waiver Request form to the TAPA Regional Waiver Committee.
5.	TAPA Regional Waiver Committee	Reviews request and either grants or denies the waiver.

## Waivers

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### *If Waiver Is Denied*

If the TAPA Regional Waiver Committee does not approve the waiver request, the LSP/Applicant is required to implement the full security requirements of the TSR.

### *If Waiver Is Granted*

If the TAPA Regional Waiver Committee approves the waiver request, the following actions will be taken:

**Table 5: Waiver Approval**

Step	Responsibility	Action
1.	TAPA Regional Waiver Committee	Documents and signs the waiver specifics.
2.	TAPA Regional Waiver Committee	Specifies the waiver lifespan (up to a maximum of three years) and sends a copy to the AA.
3.	AA	Notifies the LSP/Applicant of the outcome of the Waiver Request.
4.	LSP/Applicant	Complies with the waiver requirements. Failure to do so shall void the waiver approval.

## Trucking Security Requirements

### 9. Trucking Security Requirements

#### Policies and Procedures

TSR Certification: Sections A-E apply

TTSP Recognition: Section E applies

Section		1	2	3
<b>A</b>	<b>Management Support and Responsibilities Protocols</b>			
	Security Management			
A.1	The LSP/Applicant must have a formally appointed person responsible for supply chain security who is also responsible for monitoring the TSR program.	✓	✓	✓
	Policy and Procedures			
A.2	The LSP/Applicant must have a written corporate supply chain security policy (Security Policy) in place and adopted by management.	✓	✓	✓
A.3	Specific procedures for the handling of high value theft-targeted (HVT) cargo must be in place and in alignment with TSR procedures.	✓	✓	✓
A.4	The specific HVT and TSR procedures are also applicable to the LSP/Applicant subcontractors and must be reflected in a formal agreement between all parties.	✓	✓	✓
	Investigations and LEA Contacts			
A.5	The LSP/Applicant must document a written and implemented policy, which is shared with Buyers, to ensure that all freight losses are investigated. This shall include, but not be limited to, notifying Buyer of suspected or known thefts, and starting investigations within 24 hours. The Buyer, or appointed agent, will receive full cooperation in the investigation.	✓	✓	✓
A.6	The LSP/Applicant must maintain a list of critical law enforcement agencies (LEA) contacts within its routes and must document a procedure, for both its main office and for drivers, on how to contact and coordinate with law enforcement when a theft event occurs.	✓	✓	✓
	Collection and Delivery Records			
A.7	The LSP/Applicant 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.	✓	✓	✓
	Risk Analyses and Secure Parking			
A.8	The LSP/Applicant must risk assess routes and stops at least annually to ensure that the safest routes are chosen to minimize passage through, or stops in, high-risk areas. This information must be provided to the Buyer if requested.	✓	✓	✓
A.9	The LSP/Applicant must have a policy in place to identify and implement the use of secure parking locations for loaded trucks, as specified in TSR Levels 1, 2, and 3.	✓	✓	✓

Section		1	2	3
<b>B</b>	<b>Training Protocols</b>			
	Security Training			

## Trucking Security Requirements

Section		1	2	3
B.1	The LSP/Applicant must have a program in place to train their workforce in security which, at 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. The training must occur every 2 years	✓	✓	✓
	Monitoring Center Staff Training			
B.2	The LSP/Applicant must have a program in place for staff to include training, appropriate use of tracking devices and other security equipment, and alarm protocols as mentioned in section C <b>OR</b> have a contract in place with a recognized service provider requiring same.	✓	✓	✓
<b>C</b>	<b>Tracking and Tracing Protocols</b>			
	Response to Alerts and Systems Failure			
C.1	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	✓	✓	✓
	Response Protocols			
C.2	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		1	2	3
<b>D</b>	<b>On Route Protocols</b>			
	Escalation Procedures			
D.1	The LSP/Applicant 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.	✓	✓	✓
Section		1	2	3
<b>E</b>	<b>Workforce Integrity: Applicable for TSR Certification and TTSP Recognition</b>			
	Screening/Vetting/Background Checks (as allowed by local law)			
E.1	The LSP/Applicant must have a screening / vetting process that includes at a minimum, past employment and criminal history checks. Screening / vetting applies to all applicants, including employees and contractors. The LSP/Applicant will also require an equivalent process be applied at contracting companies supplying TAS workers.	✓	✓	✓
E.2	TAS worker is required to sign declaration that they have no current criminal convictions and will comply with LSP/Applicant security procedures.	✓	✓	✓
E.3	LSP/Applicant will have agreements in place to have required information supplied by the agency and/or subcontractor providing TAS workers, or shall conduct such screening themselves. Screening must include criminal history check and employment checks.	✓	✓	✓
E.4	Procedure for dealing with LSP/Applicant /workforce's false declaration pre & post hiring.	✓	✓	✓

## Trucking Security Requirements

Section		1	2	3
	Termination or Rehiring of Workforce  <i>Note: Termination includes both voluntary and involuntary separations—terminated and resigned members of workforce.</i>			
E.5	Recover physical assets from terminated workforce to include company IDs, access badges, keys, equipment, or sensitive information. Documented procedure required.	✓	✓	✓
E.6	Protect Buyer's data: Terminate access to physical or electronic systems that contain Buyer's data (inventory or schedules). Documented procedure required.	✓	✓	✓
E.7	Workforce checklist in place for verification	✓	✓	✓
E.8	Re-hiring: Procedures are in place to prevent LSP/Applicant from re-hiring workforce if denial / termination criteria are still valid.  <i>Note: Records are reviewed prior to re-hiring (Ex: background of previously terminated personnel or – rejected applicants (previously denied employment)).</i>	✓	✓	✓

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## Trucking Security Requirements

### Practices

#### All Sections Applicable for TSR Certification or TTSP Recognition

Section		1	2	3
<b>1</b>	<b>Physical Security</b>			
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 LSP/Applicant management	✓	✓	✓
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/Applicant 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 seals, are used on all direct, non-stop shipments. Seals shall be certified to ISO 17712 (I, S or H classification)  OR  Electronic locks fitted utilizing secure seal controls for locking and unlocking. Requiring remote unlocking or driver having access to unlock codes in real time and not prior to collection/delivery events.	✓	✓	
1.2.7	Trailer immobilization device in place when trailer is dropped (kingpin, landing gear lock or brake line lock)		✓	✓

Section		1	2	3
<b>2</b>	<b>Tracking Technology and Alarms</b>			
2.1	Two-Way Communication Systems			
2.1.1	Two-way, real time voice communication system present during entire journey	✓	✓	✓
2.1.2	Two-way real time communication system monitored 24/7 by LSP's/Applicant's office or 3rd party monitoring center	✓	✓	
2.2	Tracking and Tracing Systems			



## Trucking Security Requirements

Section		1	2	3
2.2.1	LSP/Applicant must have detailed and documented protocol in place to track <b>trailers and tractors</b> , 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	LSP/Applicant must have detailed and documented protocol in place to track <b>tractors</b> , the ability to geofence routes and parking locations and documented response protocols for handling emergencies		✓	
2.2.3	When tractor and trailer can be separated; a tracking device must be installed in a covert location in both the <b>tractor</b> and <b>trailer</b> and, where available, must be capable of utilizing at least two methods of signaling such as 3G, or SMS/GPRS using GSM or CDMA and must be equipped with at least one covert antenna.  <i>Note: In countries where two different forms of signaling are not available, the LSP/Applicant must document this to the auditor.</i>	✓		
2.2.4	A tracking device must be installed in a covert location in the <b>tractor</b> and, where available, must be capable of utilizing at least two methods of signaling such as 3G, or SMS/GPRS using GSM or CDMA and must be equipped with at least one covert antenna  <i>Note: In countries where two different forms of signaling are not available, the LSP/Applicant must document this to the auditor.</i>		✓	
2.2.5	A tracking device is installed providing remotely stored archival information relating to the position of all FTL (full truckload, Supplier dedicated) trucks.			✓
2.2.6	Standard "reporting interval" for tracking units in both the tractor and the trailer must be not less than one report every <b>five minutes</b> .  <i>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.</i>	✓		
2.2.7	Standard "reporting interval" for tracking unit in the tractor must be not less than one report every <b>thirty minutes</b> .		✓	
2.2.8	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.	✓		
2.2.9	The trailer and tractor tracking devices must be equipped with a battery back-up capable of maintaining the signaling 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.	✓		
2.2.10	Monitoring center must be able to control, over the air, the "reporting" rate for devices in both tractor and trailer	✓		
2.2.11	LSP/Applicant 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	✓		
2.3	Tractor Alarm System			
2.3.1	Manually activated silent alarm (panic button) present in reach of driver and able to send signal to the LSP's/Applicant's home base or third party monitoring center	✓	✓	

## Trucking Security Requirements

Section		1	2	3
2.3.2	Local audible alarm if unauthorized entry to tractor cab occurs	✓		
2.3.3	Procedures in place, tested and reviewed at least every six months	✓	✓	
2.4	Trailer Door Alarms			
2.4.1	Unauthorized opening of trailer doors sends signal to monitoring center	✓		
2.4.2	Procedures in place, tested and reviewed at least every six months	✓		
2.5	Tracking Device Failures			
2.5.1	The tracking system must alert if the tracking device fails or GPS signal is lost	✓		
2.5.2	Procedures in place, tested and reviewed at least every six months, for responses to failure of tracking device.	✓		
2.6	Satellite Navigation Systems (Route Planner and Route Planning)			
2.6.1	Satellite navigation system installed (route planner) recognizing detours, traffic jams, etc. to avoid unnecessary stops or delays. LSP's/Applicant's dispatch must confirm all route changes.	✓	✓	✓
2.6.2	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"	✓		
2.6.3	Coverage maps to be consulted and documented as part of route planning risk assessment	✓		
2.6.4	Route planners must develop responses to events which occur within "black spots"	✓		

Section		1	2	3
3	Security Procedures			
3.1	Scheduled Routing			
3.1.1	The LSP/Applicant has planned routes	✓	✓	✓
3.1.2	The LSP/Applicant has planned stops	✓	✓	
3.1.3	If requested by Buyer, LSP/Applicant must report Ad Hoc changes to routes and stops or delays due to unexpected events.	✓		
3.2	Vehicle Maintenance Program			
3.2.1	The LSP/Applicant must document vehicle maintenance programs in accordance with manufacturer's specifications	✓	✓	✓
3.3	Unscheduled Breaks			
3.3.1	If the driver(s) must leave the vehicle (i.e. Non-scheduled stop, medical emergency, accident or breakdown), the driver(s) must notify dispatch, lock all doors and engage all security devices. The tracking monitoring center 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 LSP/Applicant must have a protocol in place to provide protection for the shipment.	✓		
3.3.2	If the driver must leave truck and trailer, all doors must be locked and alarms (where fitted) must be activated		✓	✓

## Trucking Security Requirements

Section		1	2	3
3.4	Secure Parking			
3.4.1	The driver's manual/instructions must list approved and prohibited parking facilities, stopping places	✓	✓	✓
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/Applicant must have policies and procedures in place to prevent unauthorized parties from being present in truck or trailer (i.e. hitchhikers, friends, non-driving relatives, children, etc.)	✓	✓	✓
3.6	Management of Security Equipment			
3.6.1	The LSP/Applicant must have documented and implemented procedures in place for management and control of seals, trailer (container) door locks, pin locks, and other security equipment.	✓	✓	✓
3.7	Key Management			
3.7.1	The LSP/Applicant 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/Applicant 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/Applicant 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	✓	✓	✓
3.9.2	Exceptions noted during the pre-departure check must be reported to LSP/Applicant 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.	✓	✓	✓
3.10	Pre-Departure Checks Driver			
3.10.1	The LSP/Applicant must document procedures to ensure 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 Registers			
3.11.1	Vehicles to be utilized under the TSR must be listed in the LSP's/Applicant's TSR Vehicle Register. There is no specific format for the Register, 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		1	2	3
4	Drivers' Security Training			
4.1	Security Training			
4.1.1	Security Threat Awareness training program conducted with drivers and documented in driver records. This training, as a minimum, shall include threat awareness, robbery response, vehicle checking, and recognition of developing threats, use of secure parking, appropriate responses to threatening events and communication with police and management. This training must take place at least every 2 years.	✓	✓	✓

## Trucking Security Requirements

Section		1	2	3
<b>5</b>	<b>Freight Handover Process</b>			
5.1	Box and Pallet Integrity Verified Upon Receipt and Delivery			
5.1.1	The LSP/Applicant 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.	✓	✓	✓
5.2	Proof of Shipping and Receiving Records			
5.2.1	All cargo must be verified against shipping documents and manifests to ensure proper marking, weights, counts, and specific handling instructions (as applicable).	✓	✓	✓
5.2.2	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.	✓	✓	✓
5.2.3	The LSP/Applicant 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	✓	✓	✓
5.2.4	Access to shipping documents and information on Buyer's assets controlled, monitored and recorded, based on "need to know".	✓	✓	✓
5.2.5	Shipping documents safeguarded until destruction	✓	✓	✓
5.2.6	Information (shipping documentation) security awareness training provided to workforce having access to information.	✓	✓	✓
5.3	Driver to Be Present for Loading and Unloading			
5.3.1	Unless prohibited by shipper or receiver policies, the LSP/Applicant 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	✓	✓	✓
5.4	Pre-Alert in Place			
5.4.1	Where Buyer requires, pre-alert process applied to inbound and/or outbound shipments. Pre-alert details must be agreed by Buyer and LSP/Applicant.  Suggested details include: departure time, expected arrival time, trucking company, driver name, license plate details, shipment info (piece count, weight, bill-of-lading number, etc.) and trailer seal numbers	✓	✓	✓

Section		1	2	3
<b>6</b>	<b>LSP/Applicant Self-Assessment</b>			
6.1	Self-Assessment of Vehicle Before Being Added to the TSR Vehicle Register			
6.1.1	The LSP/Applicant must have documented evidence that all vehicles (trucks & trailers) in the TSR Vehicle Register have been assessed and are meeting the requirements of the TAPA TSR 2017 practice section relating to the physical aspect of the vehicles (refer to Sections 1 and 2)	✓	✓	✓
6.2	Ongoing Assessment to Ensure Compliance to the TSR Section 6			
6.2.1	The LSP/Applicant must have documented evidence that all subsequent self-assessments by the LSP/Applicant (fixed or rolling program - covering all vehicles in the TSR Vehicle Register) are self-re-assessed at least once every 12 months by the LSP/Applicant and associated records retained for audit purposes.	✓	✓	✓

## Trucking Security Requirements

Section	<i>Section 7 is Optional; i.e., Not Mandatory</i>
<b>7</b>	<b>Buyer Cargo Track and Trace Requirements</b> These are Buyer requested and/or the LSP/Applicant provided enhancements that can be incorporated into TSR Levels 1-3 as an optional extra. This option does not exclude use of any mandatory requirements (Practice Requirements, Sections 1-6) that are needed to meet TSR Certification requirements.
7.1	Buyer Option for Portable Tracking of Cargo
7.1.1	Portable Tracking Devices must be capable of sending tracking information to a monitoring center
7.1.2	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
7.1.3	The location of the Portable Tracking Device may be placed embedded in cargo or placed internally or externally on the trailer depending upon the type of cargo. A protocol must be in place to define this practice
7.1.4	Portable Tracking Devices can be monitored "live" or "alarm" driven. Which option to utilize is to be decided between the Buyer and LSP/Applicant.
7.1.5	The monitoring center 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 LSP/Applicant.
7.1.6	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
7.1.7	The Portable Tracking Device must demonstrate at least two of the following: geofencing, start-stop monitoring, alerts for no-stop zones, and critical waypoints.
7.1.8	The frequency of signal from the Portable Tracking Device should be determined by the Buyer, but with a minimum of 1 report per hour.

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## Appendix A: TSR Glossary

Term	Acronym (if applicable)	Definition
Authorized Auditor	AA	An Auditor working for an <b>IAB</b> who has passed TAPA-administered training and is authorized to conduct audits and issue certifications with TAPA Standards at all levels (FSR A, B, C and TSR 1, 2, 3) <b>OR</b> An Auditor working for an <b>LSP/Applicant or Buyer</b> who has passed TAPA-administered training and is authorized to issue <b>Self-Certifications</b> for FSR Level C or TSR Level 3 only.
Applicant		Entity seeking TAPA certification. While applicants are typically Logistics Service Providers (LSP), they can also be Buyers seeking certification for their own warehouses or trucking fleets.
Black Spots		These are 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.
Buyer		Purchaser of services and/or owner of transported and/or stored goods.
Buyer Exemption		Where “unless on Buyer exemption” is specified within a requirement, this can be a justifiable reason to record an N/A result or used to support a waiver request. The LSP/Applicant must have evidence supporting Buyer exemption finding such as documented approval from all Buyers. This evidence must be referenced in the audit and shared with the AA to allow them to validate the N/A result or in support of a waiver request.
Curtain-Sided Trailers		These include trailers whose sides are constructed of fabric, either reinforced (anti-slash) or not, which are intended to be rolled up for loading/unloading operations.
Days		Unless otherwise defined in the requirement(s), “days” is defined as “calendar days” and include weekends and holidays.
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.
Facility Security Requirements	FSR	TAPA Standard that describes the security requirements for warehouse operations.
Finding(s)		Observation(s) of non-compliance with a TAPA Standard requirement. Note: All findings will be documented in a SCAR.
Freight		Goods, cargo, or merchandise being transported or stored.
Full Container Load	FCL	Indicates that the cargo is dedicated for one Buyer.
Full Truckload	FTL	Indicates that the cargo is dedicated for one Buyer.
Hard-Sided Trailers		Includes trailers whose sides, floor, and top are constructed of metal or other solid material.

Term	Acronym (if applicable)	Definition
High Value Theft-Targeted	HVTT	Cargo that is at an elevated risk for theft.
Independent Audit Body	IAB	An audit company approved by TAPA and contracted by the LSP/Applicant or Buyer seeking TAPA Certification.
Jamming		Devices that are radio-frequency transmitters that intentionally block, jam, or interfere with lawful communications such as cell phone calls, text messages, GPS systems, and WIFI networks.
Less Than Load	LTL	Usually refers to a consolidated load that may be in a truck or container and may contain cargo for multiple Buyers.
Logistics Service Provider	LSP	A forwarder, a carrier, a trucking company, a warehouse operator, or any other company that provides direct services handling freight within the supply chain.
Memorandum of Understanding	MOU	A written agreement between the Independent Audit Bodies and TAPA that specifies the procedures the audit body shall follow to support the certification. A MOU expires 3 years from its inception.
Monitoring Center		A facility that receives signals from electronic security systems and has personnel in attendance at all times to respond to these signals. Commercial monitoring centers are owned and operated by third parties. Proprietary monitoring centers are owned and/or operated by LSP/Applicant or Buyer.
Not Applicable	N/A	A condition that in certain circumstances can be accepted by the Authorized Auditor when conducting TAPA certification audits. N/A can only be considered when the TAPA requirement response of “Yes or No” is truly not appropriate and/or the requirement is not capable of being applied. N/A cannot be used to avoid compliance due to cost or operational concerns. N/A(s) entered into the certification audit template, must contain, or refer to, documented supporting details that describe and justify the N/A decision.  Examples of where N/A could be utilized: - <ul style="list-style-type: none"> <li>TSR Practices Section 7 is optional and therefore N/A if not required by Buyer and/or LSP/Applicant.</li> <li>Use of vans and single body trucks only, meaning no trailers are utilized. N/A may apply to the requirement: Trailer immobilization device in place when trailer is dropped (kingpin, landing gear lock or brake line lock)</li> </ul> <p><i>Note: Use of N/A is not the same as a waiver. Waivers are considered when an applicable requirement cannot be complied with and risks are adequately mitigated with alternative technical or process controls.</i></p>
Real Time		Direct, without any delay.
Reporting Rate		Identifies how often the tracking unit sends a signal/location update to the tracking system.



Term	Acronym (if applicable)	Definition
Security Corrective Action Requirement	SCAR	The documented observation of non-compliance with a TAPA Standard requirement.
Self-Audit		Compliance verification conducted by the TAPA-certified entity (warehouse or trucking company) using the applicable TAPA Audit form, as per the schedule specified in the FSR or TSR standard.
Self-Assessment		A process in TSR Levels 1-3 wherein the LSP/Applicant must self-assess <b>each vehicle</b> that is included in their TSR Vehicle Register per the requirements in TSR Practice Sections 1 and 2.
Self-Certification		A process by which an entity certifies their own company to the TAPA FSR Level C or TSR Level 3.
TAPA Security Standards		Global logistics standards developed by TAPA to secure cargo during storage (FSR) and transport by road (TSR).
TAPA TSR Audit Forms		Standard audit templates for the measurement of conformance to TSR
TAPA TSR Certified Company		An LSP/Applicant that has been found by an AA to have met the applicable Policy and Procedure requirements and has been found to have met the applicable Practice requirements via their own fleet or via contracted carriers with their own validated TSR certification or TTSP recognition.
TAPA TSR Service Partner	TTSP	A designation that provides for official TAPA recognition that a carrier has met the applicable requirements and is therefore qualified to have specified vehicles included in the TSR Vehicle Register for any TAPA TSR Certified company.
Temporary Agency Staff	TAS	Temporary workforce
Tractor		Front section of a truck that contains the driver and engine and which is designed to pull a trailer.
Trailer		A large van or container which is designed to be pulled by a tractor.
Truck		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.
Trucking Security Requirements	TSR	TAPA Standard describing the security requirements for surface transportation by truck and trailer/container.
TSR Vehicle Register		A document listing the vehicles (with identifying details) which are subject to the TAPA TSR certification.
Waiver		Written approval to exempt a LSP/Applicant from a TAPA requirement or accept an alternative compliance solution. Note: The TAPA Regional Waiver Committee reviews waiver requests, then grants or denies all waivers.
Workforce		All employees, temporary agency staff, and subcontractors, unless individually identified.

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## Appendix B: TAPA Standards - Waiver Request Form

Instructions: Complete a separate Waiver Request form for each requirement to be considered for a Waiver. Section 1-5 must be completed before submission to TAPA.

Please note that the waiver request form is available as a download from TAPA via this link

### 1. LSP/Applicant

Company Name	
Address (where waiver applies)	
Date of Request	
<b>LSP/Applicant Responsible Person</b>	
Name	
Phone	
Email	
Signature	

### 2. Existing Requirement to be Considered for Waiver

TAPA Standard, Version and Level	
TAPA Requirement number and full text	

### 3. Reasons and Impact of Non-Compliance

Reasons why requirement cannot be complied with?	
Impact/risks if no mitigation controls were implemented	

### 4. Mitigation

Mitigation measures and security controls that will be implemented	
List of attachments and supporting documentation that support this request (plans, images, procedures, official evidence etc.)	

## 5. Approved Auditor

Date	
Company Name	
<b>Approved Auditor</b>	
Name	
Phone	
Email	
AA Supporting LSP's/Applicant's Request Y/N?	
Reasons for Y/N Response	
Signature	

## 6. TAPA Approval/Denial (TAPA use only)

Date	
Waiver Number	
Approved/Denied	
Reason Approved/Denied	
Conditions to be followed by LSP/Applicant if Approved	
Waiver Approved From /To Dates	
Authorized by / On Behalf of TAPA: Name	
Authorized Signature	

