



TAPA SECURITY REQUIREMENTS

FSR LEVEL C & TSR LEVEL 3

GENERAL GUIDELINES



The following guidance has been drawn up to assist you with your TAPA Standards self-certification process which came into effect on November 1, 2015.

STEP 1 – Trained person

a) You have a member of staff who is trained on TSR / FSR (new revised 2014 Standard) and has completed and passed the course test.

OR

b) You have an IAB (Independent Audit Body) that is processing and conducting the self-certification.

If you do not have either of the above options available, you are not able to manage a self-certification of a TAPA AMERICAS Standard.

STEP 2 - Documents

You will need to access the TAPA AMERICAS website and under the heading 'Standards' find the self-certification link. Inside the link you will find certain forms namely 3 to process your application. They are:

- a) Submission Form
- b) An Audit Report Form
- c) Waiver Form (if applicable)

These documents need to be completed in full, with enough detail to enable assessment by TAPA AMERICAS.

*NOTE

If details are 'omitted' from boxes and or 'N/A' or 'No Comment' or other abbreviations are placed into the form which does not enable a full review of the application: It will be rejected.

The application must be in English.

Typing into the forms will save time and help the reviewer make sense of the information without trying to decipher handwriting!

But handwritten and scanned forms will be accepted (if legible).

STEP 3 – Submitting your application

- 1) Complete Self-Certification Audit and record onto the 'Audit Report Form'.
- 2) Complete the 'Submission Form'
- 3) The self-certification submission is for TAPA Members Only and offered at no cost as a member benefit.
- 4) Complete 'Waiver' if necessary

Send documents to: info@tapaonline.org Or post to

Cindy M. Rosen
Executive Director

TAPA AMERICAS

140 Island Way, Suite 316
Clearwater Beach, FL 33767
(561) 206-0344 phone
crosen@associationsource.com

STEP 4 – Acknowledgement - Pass

You will receive an acknowledgement email confirming the date the self-certification audit was received and logged into the TAPA AMERICAS system.

You will receive a unique identification number for your reference.

GENERAL GUIDELINES



STEP 5- Acknowledgement – Fail

If your application cannot be processed because it is incomplete, a notification will be sent detailing the reason/s why.

You may be required to edit the application documents; you may be required to provide extra information, or the audit may be rejected 'outright' if the standard of auditing and information is substandard.

STEP 6 - Request for additional action (if applicable)

- 1) Edit and provide extra information and re submit the application to TAPA AMERICAS.
- 2) Request arbitration on the application.

STEP 7 – Arbitration (if applicable)

Arbitration will be provided or refused by TAPA AMERICAS at its discretion based on the facts recorded within the application documents.

STEP 8 – Self-assessments

The certificate is valid for three years. In years two and three, a re-audit must be performed and the results of each audit sent to TAPA AMERICAS via info@tapaonline.org

STEP 9 – Failure to submit the self-assessments

If you fail to complete the self -assessments and notify TAPA AMERICAS, you run the risk of having the certificate revoked

STEP 10 – Audit evaluation visit

During the three-year certification period, TAPA AMERICAS reserve the right to conduct an audit evaluation visit. If the results of the evaluation visit show any noncompliance with the requirements of the Standard, the certificate can be revoked.

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Submission Process	Progression	Administrative Actions
A member submits a self-certification submission form and audit report form to: info@tapaonline.org	Initial self-certification Submission Form registered & processed by TAPA AMERICAS office then sent to 'Self-Certification Committee' and 'Waiver Committee' for review.	'Self-Certification Committee' confirms application is correctly completed and all specified documentation are attached to the submission; also that the named auditor specified on the form has undertaken the TAPA training course relevant to the application and passed the course test.
'Self-Certification Committee' acknowledges with person/s submitting self- certification audit that it has been received and on what date it has been registered by TAPA EMEA	Notification will be via email	TAPA AMERICAS office responds to applicant that notification of a self-certification audit has been received & registered including the date of registration in the TAPA AMERICAS - Log. A TAPA AMERICAS registration number will be produced allowing tracking of the application.
'Self-Certification Committee'	Conducts a full review of the Self-certification 'submission form' and 'Audit Report Form' with any attached 'waiver requests' & verifies information is legible and sufficient to process the application.	'Self-Certification Committee' will respond to applicant within 10 days should errors or insufficient information be in the form. The application review will be recorded in a TAPA AMERICAS – Log.
Verification Process		
'Self-Certification Committee'	Will evaluate and PASS the application	<p>In the event that the 'Self-Certification Committee' cannot automatically pass the application then contact will be made with the Standards Lead and TSR/FSR/Lead or Waiver committee, If after consultation the self-certification audit is positive (PASS), the certificate can be issued, if negative (FAIL), further information may be requested in its support and or refuse the self-certification audit application outright (FAIL).</p> <p>The decision to be recorded in the TAPA AMERICAS – Log.</p>

Submission Process	Progression	Administrative Actions
Verification Process		
Request for Supporting / Extra Evidential Information.	'Self-Certification Committee' to notify applicant via email that further supporting information and or evidence is required to process the application. The documentation should be completed in full without indications such as (No Comment, N/A) etc. all alterations from the specified Standard must be outlined in full within the Audit Report Form.	Date of supporting information request to be entered into the TAPA AMERICAS – Log.
Waiver Requests		
'Self-Certification Committee' TAPA AMERICAS office will Identify any 'Waiver Requests' attached to the 'Submission Form' & 'Audit Report Form'.	'Waiver Requests' will be dealt with in line with the TAPA AMERICAS Waiver Request procedure.	'Waiver Requests' will be identified in the TAPA AMERICAS – Log with sufficient information to identify the request / Standard and whether the request was approved or refused. Requests for extra evidential supporting information to evaluate the Waiver Request will also be recorded in the TAPA AMERICAS – Log.
Approval Process		
Self-Certification Audit Approved	'Self-Certification Committee' to notify via email the applicant that the audit has been positive (PASS).	'Self-Certification Committee' to notify TAPA AMERICAS office that audit is a PASS and that a certificate should be issued to the applicant with the approval date decision being entered into the TAPA AMERICAS – Log, details posted on the web site (members only)
Arbitration	In the event of a request by the applicant for arbitration over either the seeking of supporting information or the refusal of a self-certification audit application/waiver request the 'Self-Certification Committee' will make a referral to the TAPA AMERICAS Standards Lead.	<p>The Standards Lead will review the request and either communicate with the respective TSR / FSR / Leads and or Quality Lead to resolve and clarify outstanding issues.</p> <p>The Standards Lead may also request the support of other experts in forming his/her decision. The Standards Lead will subsequently inform the 'Self-Certification Committee' of the arbitration decision.</p>
Arbitration Decision	'Self-Certification Committee' will notify the applicant by email concerning the arbitration decision.	'Self-Certification Committee' / TAPA AMERICAS office will update the TAPA AMERICAS – Log with the date of the arbitration decision and its nature.

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Submission Process	Progression	Administrative Actions
Administration Process		
Annual Evaluations during 3 year lifetime of self-certification audit	On the anniversary date of a self-certification audit TAPA AMERICAS will require confirmation that a subsequent evaluation re audit has taken place and evidence of such be sent to the 'Self-Certification Committee'. The 'Self-Certification Committee' will forward the notification to the FSR / TSR / Lead person & Quality Lead for review.	The 'Self-Certification Committee' or TAPA AMERICAS office to update the TAPA AMERICAS – Log on Self-Certification that any re-audit evidence has been supplied and on what date. Note the decision to continue the lifetime of the audit or request further information or revoke the original certificate in the TAPA AMERICAS – Log on self-certification dependent upon feedback from the respective Leads. Notify the applicant of any decision made via email.
Expiration of a self-certification audit after 3 years	The 'Self-Certification Committee' will make a notification via email to the applicant at least 3 months prior to the expiry of the certificate that action needs to be taken to re issue the certification.	'Self-Certification Committee' will notify the TAPA AMERICAS office that such a notification has been sent and that the self-certification TAPA AMERICAS - Log has been updated to reflect the notification date.
Expiration	If the applicant takes no action to re audit the expiration date shall be placed into the self-certification TAPA AMERICAS - Log and an email notification shall be sent to the applicant that they are no longer certified and that any usage of TAPA AMERICAS logo and or referenced Standards should be deleted.	After expiration of a certificate by an applicant the 'Self-Certification Committee' will make a visual examination of the applicant's website to ensure that TAPA AMERICAS information is not displayed in an erroneous manner.
TAPA AMERICAS Website & Vigilant	The status of any self-certification audit shall be updated on the TAPA AMERICAS website. Notifications will also alert Vigilant.	Maintained by TAPA AMERICAS administration team.
Audit evaluation visit	Approximately 5% of self-certification audits shall be subject to a 'Audit Evaluation Visit' by a person / or body nominated by TAPA AMERICAS. 'Audit Evaluation Visits' shall be assessed on a quarterly basis.	'Audit Evaluation Visits' shall be recorded onto the original Submission Form and recorded into the TAPA AMERICAS – Log. It is a 'term and condition' of self-certification auditing that an 'Audit Evaluation Visit' cannot be refused. The date of any 'site visit' to conduct an 'Audit Evaluation Visit' shall be agreed and negotiated with the applicant in advance.

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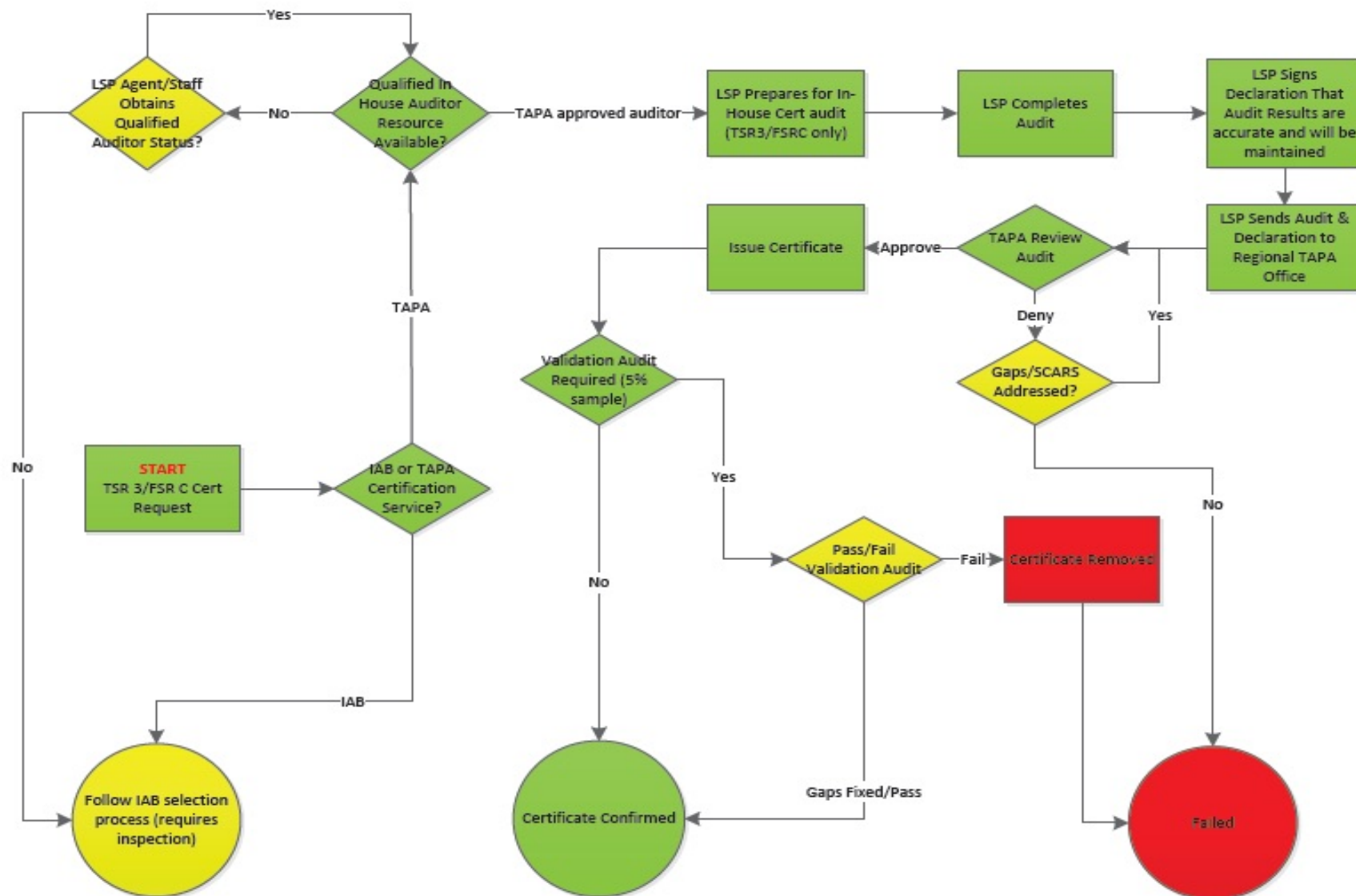


Submission Process	Progression	Administrative Actions
Administration Process		
The business and or location for any proposed 'Audit Evaluation Visit' shall be identified by 'random sampling' and or the 'quantity' of self-certification audits registered by any applicant on the TAPA AMERICAS Log. Therefore any proposed visits will be in line with a 'Due Diligence' protocol.	The decision to conduct an evaluation audit will therefore be 'risk based' and 'ad hoc' across the TAPA AMERICAS region.	TAPA AMERICAS 'Standards Lead' will identify / approve any 'Audit Evaluation Visit' after consultation with the FSR / TSR / and Quality Lead. TAPA AMERICAS 'Self-Certification Committee' will communicate the intention to conduct an 'Audit Evaluation Visit' to applicant.

Administration Documentation

- 1) TSR & FSR Self –Certification 'Submission Form'
- 2) TSR & FSR Self-Certification 'Audit Report Form'
- 3) TSR & FSR Self-Certification 'Waiver Request'

METHODOLOGY



FSR LEVEL C & TSR LEVEL 3