

TAPA

FSR 2009

FREIGHT SUPPLIERS MINIMUM SECURITY REQUIREMENTS

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Section 1 - Requirements

1. Scope

(a) Forward

Transported Asset Protection Association (TAPA) is an association of security professionals and related business partners from high technology and high value companies who have organized for the purpose of addressing the emerging security threats that are common to the high value industry supply chain. A fundamental TAPA objective is to affect positive change in the security practices of the freight transportation and insurance communities as a whole. Major freight service providers are moving toward TAPA-recognized security standards for the care and handling of freight and are recognizing the inherent value of doing so.

(b) Freight Security Requirements

Freight Security Requirements (FSR) have been established to ensure the safe and secure in-transit storage and warehousing of any TAPA member's (Buyer's) assets throughout the world. The FSR specifies the minimum acceptable standards for security throughout the supply chain and the methods to be used in maintaining those standards. The FSR outlines the process and specification for Suppliers to attain TAPA certification for their facilities and transit operations. It is the intention of TAPA members to select Suppliers that meet or exceed TAPA certification requirements. The successful implementation of the FSR is dependent upon Suppliers, TAPA Certified Auditors and Buyers working in concert.

However, the safe and secure in-transit storage and warehousing of the Buyer's assets is the responsibility of the Supplier, its agents and sub-contractors, throughout the collection, transit and delivery to the recipient, as specified in a Release. Suppliers must have written and verifiable processes for the selection of subcontractors. Periodic reviews of sub-contractor processes and facilities must be conducted based on risk.

The FSR will be referenced in any contract between the Supplier and Buyer, and into the Supplier's own security program. The result of the Supplier's failure to implement any part of the FSR shall be part of the contract between Buyer and Supplier for freight services, and the

provisions of that contract shall govern the rights and responsibilities of the parties in this case.

(c) Related Documents

Title	Description	Revision date
TAPA Freight Assessment Users Guide	Provides detailed definition and assessment criteria for Buyer & TAPA certified independent assessors. (Not available to Supplier)	Jan 1, 2009
TAPA Pre-Certification Review Planning	Details the process to plan and conduct the pre-certification meeting. This meeting will assist in determining if Supplier facilities & transportation methods meet the minimum-security requirements. For use by Buyer & TAPA certified independent assessors. (Not available to Supplier)	Jan 1, 2009
TAPA FSR Scoring Matrix	Provides associated scoring criteria (0, 1 or 2) for meeting each specific FSR.	Jan 1, 2009
TAPA FSR Audit Form	Lists FSRs by classification (A, B or C) and provides calculation for scoring.	Jan 1, 2009

(d) FSR Applicable Areas

The FSR shall apply to all geographical areas, and all such services provided. In geographical areas where English is not the first language, where necessary and applicable, it is the joint responsibility of the Buyer and Supplier to ensure that the translation accurately reflects the intentions of the Buyer and to ensure that every relevant employee is trained to understand and implement the FSR.

(e) Resources to Implement the FSR

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

(f) Definitions

TERM	DEFINITION
Buyer	Purchaser of services and/or owner of transported goods

TERM	DEFINITION
Supplier	Provider of transportation and/or logistics services
CCTV	Closed Circuit Television
DVR	Digital Video Recorder
VCR	Video Cassette Recorder (Analog)
FSR	Freight Security Requirements: Note the terms “freight” and “cargo” are utilized interchangeably for all intensive purposes within the TAPA scope and documents.
Local crime	Criminal incidents occurring within local area of Supplier’s facilities.
SCAR	Supplier Corrective Action Requirement
TAPA CA	Transported Asset Protection Association Certified Auditor

2. Contract Acceptance

(a) Supplier’s Responsibilities at Acceptance of the Contract

At acceptance of the contract, the Supplier shall submit to the regional representatives of the Buyer’s Logistics organization and the Buyer’s Security Management, a copy of the Supplier’s security policy and procedures or plan for ensuring safe and secure transportation, in-transit storage and warehousing of Buyer’s assets. Copies of Supplier’s security procedures that are relevant to the security of Buyer’s assets shall be submitted to the Buyer for review. Supplier’s security procedures must not be in conflict with the agreed upon FSR. Any and all documentation shall be handled as confidential information.

In cases where the Supplier’s security procedures do not meet the FSR, the Supplier shall take the following actions:

- I. The Supplier shall present a detailed written action plan, which outlines the non-compliant FSR area and the corrective action to be taken, with implementation dates not to exceed 60 days from date of acceptance of contract.
- II. Supplier will attain TAPA Certification within 60 days for all facilities that will handle Buyer’s assets.
- III. For areas that are not FSR compliant, a negotiated contingency plan between Supplier & Buyer shall be agreed to and in place at the commencement of the contract period. The contingency plan is designed for use when the Supplier needs time to upgrade security on new routes and shall not exceed 60 days in duration.

- IV. Any exception to the maximum 60-day duration referenced herein shall have prior written approval from the Buyer requiring FSR certification.
- V. Supplier will note and respond to Buyer's concerns regarding security concerns not covered by the FSR.
- VI. The Supplier will only negotiate with the approved TAPA Certification body for waivers for non-applicable TAPA FSR security measures or where alternative actions are taken to control security risks. The regional TAPA governing body will approve/decline all waivers submitted by the Supplier through the independent audit firm.
- VII. Suppliers who submit to FSR certification independent of a Buyer's requirement are not exempt from any portion of the FSR.

3. Supplier Security Organization

(a) Supplier Security Representative

By the effective date of the contract, the Supplier will designate a representative to liaise with the Buyer's representatives. The Supplier's Security Representative shall:

- I. Have the Supplier's designated authority necessary to manage compliance with the FSR.
- II. Have an adequate level of security competence and background.
- III. Have at least one representative to handle security responsibilities in each of the geographical areas in which the contract is effective.

(b) Supplier Loss Investigator

By the effective date of the service contract, the Supplier will designate at least one Loss Investigator to lead and coordinate the investigation and resolution of losses to Buyer's assets while in the care, custody and control of the Supplier. The Supplier shall ensure adequate and timely resources are available to investigate losses of Buyer's assets in the location the loss is suspected to have occurred. Loss Investigators may be the same person as the Supplier's Security Representative, as long as both responsibilities are covered in full.

4. Risk Assessment and Audits

(a) Buyer's and Supplier's Responsibilities for Risk Assessments and Audits

- I. At acceptance of the contract between the Buyer and the Supplier, the Supplier agrees to Buyer's right to conduct risk assessments or audits of all transit, storage and warehousing locations that will be used for Buyer's assets. Buyer can nominate an agent to perform audits on behalf of the Buyer. Normally the

- Buyer or its agent shall notify the Supplier at least five working days in advance of any audit, detailing its nature.
- II. Supplier shall ensure the TAPA certified audit body is engaged to ensure FSR audits and certification process is completed. Costs for TAPA certification shall be the responsibility of the Supplier.
 - III. The requirement for TAPA certification is also extended to any Supplier sub-contractor's facility where the Buyer's assets will be stored, distributed or transit through.
 - IV. The Buyer reserves the right to conduct unscheduled audits. The Buyer shall give a minimum of 24 hours notice to the Supplier
 - V. TAPA certified auditors shall inform the Supplier of assessment/audit results within ten working days from the completion of the audit. A summary of the findings/results should be given informally to the Supplier on the day of the audit/assessment at the closing conference.
 - VI. Supplier shall have deemed to pass the audit and be certified for that specific facility location if a TAPA FSR audit score of 60% or higher is achieved in each individual section (excluding Sections 6, 7 and 8) in addition to an overall consolidated sections score of 60% or higher; all mandatory items must be scored at least a "1" as well. Supplier shall still be responsible for completing SCAR items in the agreed time scale, even when certification is achieved. Clearance of the non-mandatory SCAR is at the option of the Supplier but must be disclosed to Buyer.
 - VII. When the TAPA certified auditor submits a SCAR to the Supplier associated with the audit findings, the Supplier shall respond to the auditor within ten working days, documenting the action to be taken and the date the action will be completed. SCAR completion dates may be negotiated between the auditor and the Supplier. However, unless the TAPA certification body approves a waiver from process, corrective action implementation shall not exceed sixty days from notification to the Supplier
 - VIII. The Supplier is required to complete self-audits of their facilities and their subcontractor's facilities as detailed in section IV paragraph (d).

(b) Monitoring Supplier Corrective Action Requirements

The Supplier shall submit progress updates/reports on all outstanding SCARs to the TAPA Auditor each month. Any SCAR not completed before the due date shall be escalated by the Supplier's Security Representative to the Supplier's Management. The reason(s) for non-compliance shall be documented and communicated to the TAPA auditor. Supplier failure to address a SCAR may result in the withholding of the TAPA certification. The Supplier has the right to appeal directly to TAPA if the certification is withheld. TAPA will agree to a process for adjudication between the Supplier and the TAPA auditor and has the right to impose a resolution on both parties.

(c) Storage/Warehousing Building Classification Assessment

The Building Classification Assessment is designed to categorize the facility into one of three categories, “A” being the highest security requirement and “C” the lowest. For facilities not previously classified, the Supplier must complete a classification assessment before the effective date of the contract and give results to the Buyer. Separate TAPA audit forms for A, B, & C facilities exist. The Supplier, in cooperation with the TAPA auditor, shall complete the final classification assessment within 30 days of acceptance of contract. The TAPA Certification body shall periodically complete their own classification assessments and ultimately make the decision on the final classification to be assigned to each of Supplier facilities handling or storing of Buyer’s assets. The Supplier or Buyer can request the facility to be re-assessed if either party considers the assessment category to have changed.

- I. The Building Classification Assessment methodology is set forth below.
 - Pre-Contract & where TAPA Certification has not been previously granted.
 - Using TAPA audit forms, Supplier classifies facilities that will be used in the transport of Buyer’s assets by being rated at least a “1” in each of the mandatory audit areas, obtain a score of 60% or higher in each individual section (excluding Sections 6, 7 and 8) as well as 60% or higher for the overall consolidated sections score.
 - Final classification is attained (within 30 days), when the Supplier facility complies with or has agreements in place with the TAPA auditor, that will meet all the requirements of a category and is assessed by an independent TAPA auditor.

(d) Supplier/Buyer Facility Security Audit Schedule

For the duration of the contract the Supplier will conduct security audits of their facility or their subcontractor’s facility in line with the audit schedule published below. The format of the audit is to be agreed upon with the Buyer. It is suggested the Supplier use the same audit format as the Buyer will use in Section 3. Results of Supplier self-audits shall be forwarded to the certifying body within 2 weeks of the self-assessment. A self-assessment is to be conducted annually within the anniversary month of the independent audit.

Supplier will allow Buyer to conduct audits when pre-arranged. Supplier will, at a minimum, audit the Supplier’s facilities in line with the audit requirements published below. The Buyer or the TAPA Certified Auditor reserves the right to increase or decrease the frequency of the audits by giving prior notification to the Supplier. The format of the TAPA audits will be to use the standard audit format contained in Section 3.

CLASSIFICATION	SUPPLIERS/SUBCONTRACTORS SECURITY AUDIT REQUIREMENTS
“A”	<ul style="list-style-type: none"> • Independent auditor: Certification audit conducted 1st year, validation audit conducted the following year (Note: Certification audits are conducted every other year). • Supplier Self Assessment: Annually and submitted to the

	TAPA CA (who performed the original audit) within two weeks of original certification anniversary.
“B”	<ul style="list-style-type: none"> • Independent auditor: Certification audit conducted 1st year, validation audit conducted the following year (Note: Certification audits are conducted every other year). • Supplier Self Assessment: Annually and submitted to the TAPA CA (who performed the original audit) within two weeks of original certification anniversary.
“C”	<ul style="list-style-type: none"> • No audits by Buyer or independent auditor. • Supplier audits, when requested by Buyer.

5. Security/Loss Investigations

(a) Supplier Investigation Responsibilities

- I. The Supplier, its agents and sub-contractors shall actively cooperate with law enforcement authorities, and the Buyer or their appointed agents in the conduct of an investigation into product, material or equipment that is lost, stolen, damaged or tampered with while in the care, custody and control of the Supplier or when the Supplier can provide assistance to any such investigation. All information, including regular updates, gathered by the Supplier, its sub-contractors or agents during the investigation shall be shared with the Buyer.
- II. A reporting procedure shall be included in the Supplier’s own security procedures, see Section 2
- III. The Buyer, or appointed agent, shall have the right to oversee and participate in such investigations.

6. Waivers

(a) Waivers

In exceptional circumstances, the TAPA CA may be confronted with a waiver request for a specific security requirement in part or whole on behalf of the Supplier. TAPA reviews and approves/denies all waiver requests. It is the TAPA CA’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 TAPA if alternative security controls are introduced to mitigate the security exposure.

Waivers are valid for up to a maximum of 1 year. The original requirement must be completed on the expiration date of the waiver or requested and approved again.

(b) Waiver Process

- I. Supplier considers a specific requirement in the FSR is not required from a security standpoint.
- II. Supplier completes and submits Request For Waiver form to TAPA CA (See Section 3). One form should be completed for each FSR waiver request
- III. TAPA CA reviews waiver request(s) and determines if request is valid. Each TAPA region currently administers waiver requests independently and the regional Board of Directors should be contacted for appropriate waiver process.
- IV. If approved: -
 - Waiver specifics are documented and signed by the TAPA Certified Auditor
 - TAPA Certified Auditor assigns date for how long waiver will be approved, sends copy to Supplier
 - Supplier 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.
 - TAPA Certified Auditor informs Buyer of waiver.
- V. If not approved:
 - Supplier required to implement full requirement of FSR

7. Supplier Facility and Truck Security

(a) Procedures

Section 2 lists the detailed requirements for the Supplier's security procedures.

(b) Supplier Facility Security Requirements (Summary)

The Supplier's facility security is to be based on good physical barriers, the efficient operation of intruder alarm and CCTV surveillance and strict adherence to agreed upon operational procedures. The facility should not be located in an area that has a high incidence of crime or is adjacent to derelict land or a run-down area. Specific requirements for the physical security of the Supplier's facilities are detailed in Section 2.

For purposes of audit, Preventive Measures are specific tactics to achieve acceptable levels of security for a given Area of Concern as identified in the TAPA audit form. These specific tactics have been identified through the knowledge and experience of industry security and logistics professionals, and represent best known methods and proven operational processes. However, in evaluating specific Preventive Measures of an individual Supplier, where such Supplier employs alternative methods that result in meeting or exceeding security

requirements of the FSR, such methods shall be accepted, and rationale for acceptance noted in the audit “Comments” section. Additionally, specific tactics in the audit form which are in direct violation of Supplier documented policies and procedures shall be considered for removal from audit scoring on a case-by-case basis.

(c) Handling Operations

The various points at which the Buyer’s assets will be transferred from one operation to another (i.e. truck to warehouse, warehouse to truck, truck to airline handler, airline handler to aircraft) are all viewed as areas of risk. The Supplier shall ensure all procedures for these operations are detailed and communicated to the Buyer. The Supplier shall notify the Buyer of any known deviation from these procedures.

(d) High Value Shipments by truck (Summary)

Shipments of Buyer’s assets by truck between the Supplier’s facilities and delivery to the final destination shall be subject to minimum-security requirements. The table in Section 2 also specifies the truck security requirements. The level of Security required is dependant on independent agreement between Buyer and Supplier.

Section 2 – Specifications

I. Supplier Facility/Truck Freight Security Requirements

Supplier Facility/Truck Freight Security Requirements ✓ = Requirement ✓M = Requirement & mandatory to pass audit	Applicable to Final Classification		
	A	B	C
1. Perimeter Security			
1.1 Perimeter Fencing (including gates)			
1.1.1 Cargo handling and shipping and receiving yard enclosed by perimeter fencing.	✓	✓	
1.2. CCTV Systems			
1.2.1 CCTV external coverage of shipping and receiving yard, including entry / exit point, to cover movement of vehicles and individuals.	✓M		
1.2.2 CCTV coverage of all external dock area.	✓M	✓M	✓M
1.2.3 CCTV system able to view exterior sides of the facility.	✓M		
1.3. Lighting			
1.3.1 Flood lighting of loading/unloading areas.	✓	✓	
1.3.2 Dock doors illuminated externally at night.	✓	✓	✓
1.3.3 Exterior and interior lighting levels that support high quality CCTV images and recording.	✓M	✓M	✓M
1.4 Perimeter alarm detection			
1.4.1 All facility external doors alarmed and linked to main alarm system.	✓M	✓M	✓M

Supplier Facility/Truck Freight Security Requirements	Applicable to Final Classification		
	A	B	C
<p>✓ = Requirement</p> <p>✓M = Requirement & mandatory to pass audit</p>			
1.5 Perimeter windows, doors & other openings			
1.5.1 All windows or other openings in warehouse walls and roof secured.	✓M	✓M	✓
1.5.2 Ground floor warehouse windows protected by anti-ram posts or other physical barrier.	✓		
1.5.3 Dock doors of sufficient strength to delay forced entry by use of portable hand tools or ramming by vehicle.	✓		
1.5.4 Reinforced exit doors from warehouse (steel doors and frames or suitable alternative).	✓	✓	
1.5.5 Exterior walls and roof designed and maintained to resist penetration by removing building fabric, cutting or ramming by vehicle.	✓	✓	
1.5.6 External access to roof (ladder or stairs) controlled.	✓	✓	
2. Access Control – Office Areas			
2.1 Office Entrances			
2.1.1 Visitor entry point(s) controlled.	✓M	✓M	
2.1.2. Employee entry point(s) controlled.	✓M	✓M	
2.1.3. Access control processes both during and outside normal operating hours to ensure access is granted only for authorized Supplier employees and visitors.	✓	✓	✓M
3. Facility Dock/Warehouse			
3.1. Access control between office and dock/warehouse			
3.1.1 Security controlled access points (e.g., Guard, card access or CCTV with intercom).	✓M	✓	
3.2. Limited access to dock areas			

Supplier Facility/Truck Freight Security Requirements	Applicable to Final Classification		
	A	B	C
<p>✓ = Requirement</p> <p>✓M = Requirement & mandatory to pass audit</p>			
3.2.1. Only Supplier's authorized employees and escorted visitors permitted access to dock/warehouse.	✓	✓	✓
3.3. High value storage area			
3.3.1 Restricted-access, caged/vault area for assets staged on-site for more than 2 hours: High-grade security mesh, chain-link or hard-wall, including top/roof; CCTV, controlled access.	✓M		
3.3.2 Restricted-access, caged/vault area for assets staged on-site for more than 6 hours: High-grade security mesh, chain-link or hard-wall, including top/roof; CCTV, controlled access.		✓M	✓
3.4 All external dock and warehouse doors secured			
3.4.1 All external dock and warehouse doors closed and secured when not in active use.	✓	✓	✓
3.5 CCTV coverage			
3.5.1. Internal dock doors and dock areas covered by CCTV.	✓M	✓M	✓M
3.5.2. Buyer-designated assets under 100% CCTV surveillance while in Supplier facility (this does not require 100% of floor coverage, rather 100% coverage of Buyer's assets e.g. CCTV from dock, to pallet breakdown/buildup area, to high-value cage/vault).	✓M	✓M	
3.6 Motion detection alarms			
3.6.1 Motion detection alarms inside warehouse and activated when entire facility is vacated (N/A if facility is <u>true</u> 24x7x366 operation).	✓M	✓M	
4. Security Systems			
4.1. Monitoring of security systems			
4.1.1 Manned security monitoring post 24x7x366; monitoring	✓M	✓M	✓

Supplier Facility/Truck Freight Security Requirements	Applicable to Final Classification		
	A	B	C
<p>✓ = Requirement</p> <p>✓M = Requirement & mandatory to pass audit</p>			
post secure from attack.			
4.1.2 All security system alarms responded to in real-time 24x7x366.	✓	✓	✓
4.2 Intruder alarm system			
4.2.1 Minimum of 60 day records on system alarms.	✓	✓	
4.2.2 Restricted access to alarm system.	✓M	✓M	✓
4.2.3 Alarms monitored.	✓M	✓M	✓M
4.3 CCTV system			
4.3.1 All CCTV images are recorded (VCR or DVR).	✓ M	✓ M	✓
4.3.2 Restricted access to CCTV system functions.	✓M	✓M	✓
4.3.3 Minimum 30-day retention of all CCTV recordings; recordings are held in secure storage area.	✓M	✓M	✓M
4.4 Electronic access control system			
4.4.1 Minimum 60-day records on system transactions.	✓	✓	
4.4.2 Restricted access to system functions.	✓	✓	
4.4.3 Quarterly review of access reports.	✓	✓	✓
5. Security Procedures			
5.1 Documented security procedures			
5.1.1 Local documented procedures for handling Buyer's assets and escalation procedures for communicating security incidents to Buyer.	✓	✓	✓
5.1.2 Process for timely reporting of lost, missing or stolen Buyer's assets. Incidents to be reported by the Supplier	✓	✓	✓

Supplier Facility/Truck Freight Security Requirements	Applicable to Final Classification		
	A	B	C
<p>✓ = Requirement</p> <p>✓M = Requirement & mandatory to pass audit</p>			
to the Buyer within 12 hours; Obvious thefts reported immediately.			
5.1.3 Emergency customer and local management contacts for security incidents listed and available.	✓	✓	✓
5.1.4. Supplier Security Policy Statement available and communicated to all employees.	✓	✓	✓
5.1.5 Security Awareness Training provided to employees (to include robbery response and challenging un-identified persons).	✓	✓	✓
5.1.6 All employees and contractors issued and display company photo-ID badge.	✓	✓	
5.1.7 Procedures in place to restrict Supplier's employees, visitors and contractors access to Buyer's assets.	✓	✓	✓
5.1.8 Visitor policy in place.	✓	✓	✓
5.1.9 Control of shipping documents/information so that details of Buyer's assets are restricted to those with a "need to know."	✓M	✓M	✓
5.1.10 All drivers identified using government-issued photo-ID (e.g.; drivers' license; passport or national ID card, etc.)	✓M	✓M	✓
5.1.11 Keys controlled in areas where Buyer's assets are transiting or stored.	✓	✓	✓
5.1.12 Random trash inspection procedures in place for trash removal from dock/warehouse.	✓	✓	
5.1.13 Security incident reporting system and method of tracking local security incidents.	✓	✓	
5.1.14 Pre-loading or post-delivery storage of Buyer's assets in trailers/containers.	✓	✓	✓
5.1.15 Personal containers (defined as lunch box, backpacks, coolers, purses, etc.) controlled in the warehouse.	✓	✓	

Supplier Facility/Truck Freight Security Requirements	Applicable to Final Classification		
	A	B	C
<p>✓ = Requirement</p> <p>✓M = Requirement & mandatory to pass audit</p>			
5.1.16 Searches or inspections performed on exit from secure areas used for Buyer's assets.	✓	✓	
5.1.17 Personal vehicles access to shipping and receiving yard/area controlled.	✓	✓	
5.1.18 Box and pallet integrity verified upon receipt.	✓	✓	
5.1.19 Control of cargo-handling equipment.	✓	✓	
5.1.20 Integrity of container or trailer structure verified by physical inspection.	✓	✓	
5.1.21 Documented maintenance programs in place for all technical (physical) security installations/systems (CCTV, Access controls, Intruder detection, Lighting).	✓M	✓M	✓M
5.1.22 Un-interrupted Power Supply (UPS) in place to ensure all electronic systems are able to function, even during power loss scenario.	✓	✓	
5.2. Background checks (vetting)			
5.2.1 Criminal history check in place encompassing 5-year criminal history and employment check (vetting within constraints of local country laws).	✓M	✓M	✓M
5.3. Terminated employees & contractors procedure			
5.3.1 Termination procedures in place for employees and contractors, ensuring return of IDs, access cards, keys and other sensitive information.	✓	✓	✓
5.3.2 Procedure in place to prevent systems access to Buyer's data by terminated employees.	✓	✓	✓
5.3.3. Records maintained to consider background of previously terminated personnel before re-hiring.	✓	✓	✓
6. Standard Truck Security Requirements			
6.1 Cargo truck security			

Supplier Facility/Truck Freight Security Requirements	Applicable to Final Classification		
	A	B	C
<p>✓ = Requirement</p> <p>✓M = Requirement & mandatory to pass audit</p>			
6.1.1 Solid-top, hard-sided or reinforced soft-sided trailers with lockable cargo doors.	✓	✓	✓
6.1.2. Tamper-evident security seals for trucks carrying Buyer-only shipments.	✓	✓	✓
6.1.3. Vehicle immobilization devices utilized.	✓	✓	
6.1.4 Two way communication present during entire journey and monitored by Supplier and/or contractor.	✓	✓	✓
6.1.5 Written contingency plans in place for reporting unscheduled events (i.e. stops, delays, route deviation).	✓	✓	✓
6.1.6 Truck cab and ignition keys secured from unauthorized use at all times.	✓	✓	✓
6.2. Route Risk Assessment			
6.2.1 Risk assessments performed on Buyer-designated routes.	✓	✓	
6.3. Loading/unloading			
6.3.1 Proof of shipping and receiving records (Proof of Delivery, Bill of Lading, Waybill, etc.).	✓	✓	✓
6.3.2 Policy in place requiring driver to be present for loading and unloading when allowed.	✓	✓	✓
7. Pre-Alerts			
7.1 System of Pre-Alerts			
7.1.1 Pre-alert capability in place.	✓	✓	
7.1.2 Destination to notify origin within 4 hours of receipt of shipment, reconciling pre-alert shipment details.	✓		
8. Enhanced Security Requirements			
8.1 Driver training			

Supplier Facility/Truck Freight Security Requirements	Applicable to Final Classification		
	A	B	C
<p>✓ = Requirement</p> <p>✓M = Requirement & mandatory to pass audit</p>			
8.1.1 Supplier to provide robbery response training, detailing safe and secure actions to be taken during the event driver is threatened. Details of training are to be available to Buyer.	✓	✓	
8.1.2 Security Awareness training provided to drivers on mitigating risk. Details of training are to be available to Buyer.	✓		
8.2 Truck escorts			
8.2.1 Capability to provide truck escorts with real time communications to base and local police; written documentation in place.	✓		
8.2.2 Documented response procedures and training for escort personnel.	✓		
8.3 Vehicle tracking			
8.3.1 GPS or similar technology installed on all vehicles transporting Buyer's assets.	✓		

Section 3 – Forms

FORM 3.1 – REQUEST FOR WAIVER

DATE OF REQUEST		SUPPLIER	Waiver #:
FACILITY LOCATION			
NAME OF PERSON REQUESTING WAIVER			
POSITION			
SIGNATURE			
FREIGHT SECURITY REQUIREMENT FOR WHICH WAIVER IS BEING REQUESTED (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 1 year)			
Approved By (Name):			
Approved By (Signature):			
Date:		Waiver Reference #	