

TAPA
Pre-Certification Review Planning

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Introduction

The success of any review or assessment is dependent on an effective planning phase. Proper planning of the review ensures that both the reviewers and the organization being reviewed are communicating and are prepared. Effective review planning minimizes the chance of miscommunication and optimizes the resources of both the reviewer and the reviewed.

Pre-Planning Elements

The pre-planning phase of a review is formalized in an announcement letter.

The announcement letter documents the review plan and facilitates communication between the reviewer and the reviewed. It should include:

1. The review objectives.
2. The warehouse classification (A, B, C) being requested.
3. The security level for trucking operations.
4. The reviewer(s) names.
5. The date, place and time of the review
6. The expected agenda (identifying, the approximate time and duration of each review activity)
7. Confidentiality Requirements – Non- Disclosure
8. The distribution of the final report.
9. A request for information
10. A request to identify key individuals and meeting schedules to ensure availability.
11. Customer specific requests.
12. Cost of review and payment terms.
13. A suggested announcement letter to the organizations employees.

Timing

The pre-planning phase of the review should begin as soon as the review has been requested. It should be concluded and the announcement letter sent out at least two weeks prior to the tentative date of the review. This is to allow the organization time to prepare and forward the required information.

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Suggested Pre-Review Announcement Letter

To: Organization Requesting Certification Review

Subject: TAPA Certification Review

You have requested that we perform a certification review of your freight security program. This review is scheduled for **November 15, 1999 at your Lakeland Facility, at 9125, North Ridge Rd., Lakeland, California.** The review team will kick off the review at 8:30am. We expect the review will take all day. Please review, complete and return the schedule in Attachment A

The objective of the review will be to determine if the facility meets the minimum-security requirements for a level **(A, B, or C)** Warehouse Security Certification and your trucking operations meet the criteria for a level **(1,2,3,or 4)** as defined by TAPA. We will also provide you with suggestions on how your security program can be enhanced. We will review your current procedures and practices and compare them to the TAPA minimum-security requirements.

Joe Smith will lead the review team. Sally Jones will also be participating.

The final confidential report will be issued within 10 days after the site review to you only. TAPA will be provided with the final rating of the warehouse and trucking operations.

In Attachment B we have indicated the information that will be needed to complete the review. We would like to receive this information at least a week prior to the start of the review.

We have also enclosed a copy of the TAPA Freight Supplier Requirements.

The cost of this review will be xxxx.

If you have any questions please fell free to contact me at **xxx-xxx-xxxx, or via email at xxxx@XXXX.com**

Sincerely,
Project Leader

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Attachment A: Scope of Review & Meeting Schedule

TAPA: Certification Review of: <u>Company Name</u>		Facility: <u>Facility Name</u>
Address: <u>Address of facility being reviewed</u>		
Conducted by: <u>Consulting Company</u>		Lead Reviewer: <u>Name of Reviewer</u>
Date: <u>November 5, 1999</u>		Site Contact: <u>Name of Company Contact</u>
A. Business Process	B. Attendees/ Contact Person	C. Schedule Time
1. Certification Review Kickoff: 1.1 Introductions 1.2 Review Team Overview 1.3 Site Overview & Organization	All involved personnel Review team leader TBA	8:30am – 9:30am
2. Tour 2.1 Perimeter 2.2 Access control – office 2.3 Facility/Dock/Warehouse 2.4 Security systems	TBA	9:30 am - 11:30am
3. Security & Loss Control: Management System 3.1 Security policies and procedures 3.2 Post-Procedures 3.3 Incident reporting and measurement 3.4 Internal & External audits/reviews3.5 Alarm Testing 3.6 CCTV procedures 3.7 Information security 3.8 Trash 3.9 Key Control 3.10 Access control, visitor control, id badges	Security TBA	11::30am – 12:30pm:
4. Human Resources 4.1 Employee hiring practices Background checks & drug testing (vetting) 4.2 Contractor/sub-contractor hiring practices Background checks & drug testing 4.3 Education and awareness 4.4 Termination Practices	Human Resources TBA	1:30pm –2:30pm

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TAPA: Certification Review of: <u>Company Name</u>		Facility: <u>Facility Name</u>
Address: <u>Address of facility being reviewed</u>		
Conducted by: <u>Consulting Company</u>		Lead Reviewer: <u>Name of Reviewer</u>
Date: <u>November 5, 1999</u>		Site Contact: <u>Name of Company Contact</u>
A. Business Process	B. Attendees/ Contact Person	C. Schedule Time
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5.0 Receiving/Shipping/Supplier Truck Practices	Operations Mgr. TBA	2:30pm – 4:00pm
5.1 Truck Security Devices		
5.2 Routings		
5.3 Loading/Unloading – paper trail		
5.4 Pre-alerts		
5.5 Driver training		
5.6 Truck escorts		
5.7 Vehicular tracking		
6.0 Wrap Up Meeting	Review team leader	4:30pm – 5:00pm
Evening Perimeter & Exterior Review		To be scheduled
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Attachment B: TAPA Certification Review Information Requirements

Receiving the following information in advance of our on-site review would be extremely helpful and would ensure a more effective review process. Any information not received prior to the site visit should be available at the kick-off meeting. Any information not provided will be considered not to exist.

1. Completed Meeting Schedule (Attachment A)
2. Organization Charts and Site Profiles
3. Third Party Contracts – (e.g. Transportation Service Providers, Sub-contractors, contract guards, contract & temporary employees, etc.)
4. Post-Procedures
5. Internal and External reviews and audits
6. Incident Reports from 1998 and 1999 year to date
7. Transportation and Distribution Losses for 1998 and 1999 year to date.
8. Policy and procedures and process flows for the business processes to be reviewed including shipping, receiving, inventory movement, inventory control, security etc.
9. Security and Asset Management Improvement Plans
10. Any Management Concerns or Areas you would like reviewed.
11. A copy of your non-disclosure form that we will sign and return to you overnight.
We can provide our standard form if you would like.

This information should be sent to: