

TAPA

TSR-2008 FREIGHT SUPPLIER MINIMUM TRUCKING SECURITY REQUIREMENTS (TSR)

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Section 1 - Requirements

1. Scope

(a) Foreword

Transported Asset Protection Association (TAPA) is an association of security professionals and related business partners from companies who manufacture higher value goods and the supply chain industry who have organized themselves for the purpose of addressing the emerging security threats that are common to the 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) Trucking Security Requirements

Trucking Security Requirements (TSR) has been established to ensure the safe and secure transportation of any TAPA members (Buyers) assets throughout the world. The TSR may be used in conjunction with other TAPA freight security requirements. The TSR specifies the minimum acceptable standards for security throughout the supply chain utilizing trucking and associated operations and the methods to be used in maintaining those standards. The TSR outlines the process and specification for Suppliers to achieve compliance for their trucking operations. It is the intention of TAPA members to select Suppliers that meet or exceed TSR compliance requirements. The successful implementation of the TSR is dependent upon Suppliers and Buyers and their agents working in concert. However, the safe and secure transportation of the Buyers or agents assets is the complete responsibility of the Supplier, its agents and sub-contractors, throughout the collection, transit and delivery to the recipient, as specified in a Release. The TSR will be referenced in any formal agreement between the Supplier and Buyer, and integrated into the Supplier's own security program. Unless prior arrangements or agreements have been negotiated and documented between the Supplier and Buyer, failure to implement any part of the TSR shall be construed as a material breach of the Formal Agreement.

(c) Other Documents Referenced to TSR

Title	Description	Revision date
TAPA TSR Assessment form	To provide detailed definition and assessment criteria for Supplier, Buyer and agents.	<i>Draft 1.0</i>
TAPA TSR Scoring Matrix	Details the scoring mechanism to assist in the planning and process to obtain TSR compliance.	<i>Draft 1.0</i>

(d) TSR Applicable Areas

The TSR shall apply to all geographical areas, and for all such services provided within the Formal Agreement between Buyer & Supplier. In geographical areas where English is not the first language, where necessary and applicable it is the responsibility of the Supplier and its Agents to ensure that the translation accurately reflects the intentions of the Buyer and to ensure that every relevant employee has been trained to implement this TSR.

(e) Definitions

TERM	DEFINITION
Buyer	TAPA Member or authorized agent.
Contingency plan	Document which describes actions to be taken and processes to be followed in the event of an incident or accident causing possible threat to driver and or Buyers products
Formal Agreement	Written document stating the agreement between Buyer and Supplier to commit and adhere to security measures with regard to transportation in general and trucks, trailers in particular
Local crime	Criminal incidents occurring within a 10 mile radius of Supplier's facilities or transportation routes.
Supplier	Forwarder/carrier providing service to Buyer
Exclusion	Exclusions of requirements can be reached through negotiations between Buyer and Supplier, if it is regarded irrelevant or not required by the Buyer. The process for agreeing Exclusions must be part of the formal agreement.
SCAR	Supplier Corrective Action Requirement
TSR	Trucking Security Requirements

TERM	DEFINITION
Vehicles	TSR applies to all vehicles (trucks, trailer units and delivery vans) used for transport of high value products.

2. Formal Agreement Acceptance

(a) Suppliers Responsibilities at Acceptance of the Formal Agreement

At acceptance of the formal agreement, 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 (where applicable) 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 conflict with the agreed TSR. Any and all documentation shall be handled as confidential information. In cases where the Supplier's security procedures do not meet the TSR, the Supplier shall take the following actions:

- I. The Supplier shall present a detailed written action plan, which outlines the non-compliant TSR area and the corrective action to be taken, with implementation dates not to exceed 60 days from date of acceptance of formal agreement.
- II. For areas that are not TSR compliant, a negotiated contingency plan between Supplier & Buyer shall be agreed and in place at commencement of Formal Agreement. The contingency plan is designed for use where Supplier needs time to upgrade security on new routes and shall not exceed 60 days in duration.
- III. Supplier will note and respond to Buyers concerns regarding security concerns not covered by the TSR.

3. Security Organization

(a) Supplier Security Representative

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

- I. Have the Supplier's designated security authority responsible for managing the compliance with the TSR.
- II. Have an adequate level of security competence and background.
- III. Assign at least one individual, security responsibilities for each of the geographical areas in which the formal agreement is effective

(b) Supplier Loss Investigator

By the effective date of the formal agreement, the Supplier will designate one or more Loss Investigators for leading and coordinating investigation and resolution of losses of Buyer’s assets while under the responsibility of the Supplier. The Supplier shall ensure adequate and timely resources are available to investigate losses of Buyers assets in the location the loss is suspected to have occurred. Loss Investigators may be the same person as the Suppliers Security Representative, as long as both responsibilities are covered in full.

4. TSR Compliance Levels

(a) Trucking Security Requirement Levels for Trucking Operations

Buyer shall be responsible for notifying Supplier as to which Trucking Security Requirement Levels are to be applied in the transportation of Buyers assets. Where Buyer has not notified Supplier of the required TSR Levels, then all trucks operated for the movement of Buyers assets will default to TSR Level 3. Audits will be performed against and measured against Buyers TSR level requirements for compliance, as per the specification in Section 2.

(b) Funding of Trucking Security Requirements Levels for Trucking Operations

TSR Level 1, Buyer & Supplier negotiation

TSR Level 2, Buyer & Supplier negotiation

TSR Level 3, Suppliers own cost

5. TSR Compliance Assessments and Other Security Audits

(a) TSR Compliance Assessment Schedules

TSR CLASSIFICATION	SUPPLIERS/SUB-CONTRACTORS SECURITY ASSESSMENT REQUIREMENTS	MINIMUM SCORE
“1”	<ul style="list-style-type: none"> • Supplier annual compliance assessments or sooner when significant changes to truck route require new assessment. • Buyer has right to attend • Results submitted to Buyer upon request 	<ul style="list-style-type: none"> • 100%
“2”	<ul style="list-style-type: none"> • Supplier annual compliance assessments or sooner when significant changes to truck route require new assessment. • Buyer has right to attend 	<ul style="list-style-type: none"> • 80% and all mandatory items

	<ul style="list-style-type: none"> • Results submitted to Buyer upon request 	
“3”	<ul style="list-style-type: none"> • Supplier assessments prior to commencement of Formal Agreement • Re-assessment as required by Buyer and when significant changes to truck routes occur • Results submitted to Buyer upon request 	<ul style="list-style-type: none"> • 60% and all mandatory items

(b) TSR Compliance Assessment Process

- I. Before acceptance of a Formal Agreement between the Buyer and the Supplier, the Supplier agrees to conduct TSR assessments on truck routes utilised for the transportation of Buyers assets. The TSR level is to be defined by the Buyer.
- II. Supplier TSR assessments are also required of their sub-contractors where utilized for transportation of Buyers assets.
- III. The compliance assessment plan shall be agreed between Buyer & Supplier and take no longer than 60 days to complete. Any deviations from the due dates must be communicated by Supplier to Buyer and agreed by both parties (see also 2. (a))
- IV. For pending TSR assessments, Supplier must satisfy Buyer that temporary security counter measures are equal to or better than the TSR.
- V. The TSR Compliance Assessments will be completed by the Supplier or their agents utilizing TAPA TSR assessment templates.
- VI. TSR truck routes are to be assessed independently of the Supplier’s facility.
- VII. The Buyer has the right to attend Supplier TAPA TSR assessments.
- VIII. To achieve TSR compliance, the Supplier shall meet all requirements of the TSR assessment.
- IX. Exceptions to compliance may be permitted, but will follow the procedure in Section 7 Exclusions.
- X. Gaps identified in the TSR assessment are to be defined as SCARS and should be documented, assigned a due date and tracked to closure. A TSR compliance assessment is not deemed a pass until all SCARS are completed or exclusion(s) are approved.
- XI. New transportation routes or lanes to be communicated to Buyer by Supplier before commencement of operation to ensure TSR is agreed & implemented prior to Buyers assets being transported.
- XII. Changes in existing truck routes to be communicated to Buyer by Supplier as soon as they are proposed. Interim Security measures to protect Buyers assets to be agreed and implemented between Buyer & Supplier, until TSR compliance

assessment is completed and passed. TSR compliance assessment to take no longer than 30 days to complete from date of route change notification.

- XIII. Buyer has the right to verify Supplier TSR Compliance Assessment results by assessing the operation themselves or by reasonable communications with the Suppliers own assessors.
- XIV. Supplier's failure to meet the intent of the TSR Compliance Assessment or falsifying of information is deemed a material breach of the Formal Agreement between Buyer & Supplier.

(c) Other Security Audits

- I. Buyer or its nominated agent has the right to perform their own risk assessment/audits of truck routes
- II. The Buyer reserves the right to conduct unscheduled audits. The Buyer shall give a minimum of 24 hours notice to the Supplier
- III. Results of Buyer assessments or audits are to be shared with the Supplier.

(d) Monitoring Supplier SCAR's

The Supplier shall submit to the Buyer progress updates on all outstanding SCAR's at Buyers request. The due date for completion of SCAR is to be negotiated between Buyer and Supplier but should not exceed a 60 day period. Any SCAR's not completed on or before the due date are to be escalated by the Supplier's Security Representative to the Supplier's Management and reasons for non-compliance are to be documented and communicated to the Buyer. Supplier failure to address SCAR's may result in the Buyers temporary or permanent withdrawal of business.

6. 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 under the responsibility 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-contractor or agents during the investigation shall be shared with the Buyer. Unless this information is indicated as "restricted" by the investigating police dept. or is against privacy data protection laws.
- II. A reporting procedure shall be included in the Suppliers own security procedures, see Section 2

- III. The Buyer shall have the right to oversee or participate in such investigations

7. Exclusions

(a) Exclusions Approval Process

In some circumstances, the Supplier can negotiate exclusions from compliance to TSR if the following process is followed and documented between Buyer & Supplier. Such exclusions are only valid between the Buyer and Supplier named in the Formal Agreement. An agreement from a Buyer not to hold a Supplier responsible for non-compliance to a specific requirement within the TSR, does not mean that another Buyer will also have to accept the same exclusion.

- I. Deviation from the TSR can only be approved when Supplier negotiates with the Buyer for non-applicable TAPA TSR security measures to be removed or alternative counter measures to be implemented.
- II. Any agreed exclusions will be applicable for the life of the formal agreement but can be put forward for re-negotiation at any time by the Supplier or Buyer.
- III. All exclusions shall be mutually agreed and documented between Buyer approving exclusion and Supplier requesting exclusion before they are deemed to be valid

Section 2 – Specifications

I. Supplier Trucking Security Requirements

I. Supplier Transportation Physical Security Requirements

Supplier Transportation Physical Security Requirements	Applicable to Final Classification		
✓ = Requirement	1	2	3
✓M = Requirement & mandatory to pass audit highlighted yellow on audit form			
1. Physical Security			
1.1. Truck Security			
1.1.1. Truck equipped with locks.	(M)✓	(M)✓	(M)✓
1.1.2. A Fuel cap lock must be fitted.	(M)✓	(M)✓	
1.2. Trailer Security			
1.2.1. Hard sided/ Box trailer	(M)✓	✓	
1.2.2. Re-enforced curtain with TIR/Bond, sealed cord.		(M)✓	(M)✓
1.2.3. High Security locks utilized.	(M)✓	✓	
1.2.4. Security tamper evident seals used.	(M)✓	✓	✓
1.2.5. Trailer immobilization device utilized.	(M)✓	✓	
1.2.6. External identification on top of truck and/or trailer	(M)✓	✓	
1.2.7. Climbing devices must be secured from unauthorized use	(M)✓	✓	✓
2. Security Systems			
2.1 Communications			
2.1.1. Two way communication available in cab during entire journey (24*7 availability)	(M)✓	(M)✓	(M)✓
2.2 Tracking and Tracing			

Supplier Transportation Physical Security Requirements	Applicable to Final Classification		
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2.2.1. Satellite or equivalent Tracking System Truck/Cab which is capable of sending alerts remotely, updates at least every fifteen (15) minutes during a transit and which is professionally maintained.	(M)✓	✓	
2.2.2. Satellite or equivalent Tracking System Trailer/Container which is capable of sending alerts remotely and which is professionally maintained.	(M)✓		
2.2.3 Satellite tracking systems on truck and trailer communicating with each other and send out alarm when uncoupled/disconnected unauthorized or not following standard procedures	(M)✓		
2.2.4. Satellite navigation (active route planner) with an alert system for route deviation and traffic jams	(M)✓	✓	
2.2.5. Documented plans in place that include procedures upon incident notification/awareness to effectively contact local law enforcement direct for immediate assistance mid incident and investigation post incident.	(M)✓	✓	
2.2.6. All alerts/alarms are sent to Suppliers' home base or 3 rd party monitoring centre 24x7x365 and handled professionally.	(M)✓	✓	
2.3 Alarm			
2.3.1. Electronic Alarm on truck when left vacant	(M)✓	(M)✓	(M)✓
2.3.2. Alarm activated automatically by locking truck	(M)✓	(M)✓	
2.3.3. Manually activated duress (silent) alarm (panic button)	(M)✓		
2.3.4. Trailer alarm (acoustic) activated by unauthorized opening of trailer doors	(M)✓		
2.3.5 Tracking system tamper alarm	(M)✓		
2.4 Vehicle immobilization			
2.4.1. Truck immobilization device in place.	(M)✓	(M)✓	(M)✓
2.4.2. Trailer immobilization device in place.	(M)✓	(M)✓	(M)✓

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3. Security Procedures			
3.1. Collection			
3.1.1. Verification of loads stating address, names of shipping and receiving personnel	(M)✓	(M)✓	(M)✓
3.1.2. Verification of collection/delivery documents	(M)✓	(M)✓	(M)✓
3.1.3. Driver present at all loading/unloading operations, consignee must allow	(M)✓	✓	✓
3.1.4. Sealing of the vehicle by warehouse or security staff to be witnessed by the driver and documented	(M)✓	(M)✓	✓
3.1.5. Driver must arrive at pick up location, fully fueled, fed and allowed to drive for at least 6hrs or 200mls/320km's	(M)✓	(M)✓	✓
3.2 Delivery			
3.2.1. Verification process in place for delivery/handover of goods.	(M)✓	(M)✓	(M)✓
3.2.2. Hand over procedures in place to prevent loss.	(M)✓	(M)✓	(M)✓
3.2.3. Truck seal only to be opened/broken by staff at destination in presence of the driver and documented.	(M)✓	(M)✓	✓
3.3. Pre-Alerts			
3.3.1. Pre-alerts to be checked and verified by Supplier and agreed by Buyer	(M)✓	(M)✓	✓
3.4. Scheduled Routing			
3.4.1. Routes to be planned in advance and approved by Buyer.	(M)✓	(M)✓	
3.4.2. Changes in routes discussed and approved by Buyer	(M)✓	✓	
3.4.3. Stops and breaks pre-planned and agreed between Buyer and Supplier.	(M)✓	✓	

Supplier Transportation Physical Security Requirements	Applicable to Final Classification		
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3.5 Incident, Event and Action reporting (escalation procedure)			
3.5.1. Actions such as arrival/departure, stops, and destination reported immediately to Supplier's base.	(M)✓	✓	
3.5.2. Delays caused by detours, traffic jam, strike etc. to be reported immediately to Supplier's base.	(M)✓	✓	✓
3.5.3. Incidents like vehicle breakdown, illness etc. reported to Supplier's base and followed up immediately	(M)✓	(M)✓	✓
3.5.4. Procedures in place in case of disruption of transport (vehicle breakdown, route deviation etc.)	(M)✓	(M)✓	✓
3.5.5. Procedures in place to respond to security incidents <u>as in 2.2.5.</u>	(M)✓	(M)✓	✓
3.6 Vehicle maintenance program			
3.6.1. Documented maintenance program according to truck manufacturer's specifications.	(M)✓	(M)✓	(M)✓
3.6.2. Documented routine check before and after every start or end of a journey/trip (Including breaks)	(M)✓	✓	
3.7 Stops (taking in fuel, meals, short breaks, unscheduled stops)			
3.7.1 Truck and trailer to be parked in sight of driver(s) at all times, locked and alarm activated.	(M)✓	✓	
3.7.2. Notification to Supplier home base on every break	(M)✓		
3.7.3. Procedures how to respond to law enforcement agencies.	(M)✓	✓	
3.7.4. All trucks carrying a "Vulnerable Load Card" to present to LEA when stopped	(M)✓	✓	
3.8 Secure Parking			
3.8.1. Overnight parking on a public parking having considered	NA	✓	✓

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basic security requirements			
3.8.2. Overnight parking on fenced and well lit parking	NA	✓	
3.8.3. Overnight parking on dedicated, secure parking that is access controlled and equipped with CCTV	(M)✓	✓	
3.8.4. No overnight parking unless on guarded parking or the use of relief driver is in place.	(M)✓		
3.9 Contingency planning			
3.9.1 Plans in place to take appropriate measures (documented) in events of vehicle breakdown, driver's incapability, unforeseen stops etc.	(M)✓	✓	✓
3.9.2 Plans in place to take appropriate measures (documented) in events of arriving outside offloading slot(s), refusal of offloading, etc.	(M)✓	✓	
3.10 Key management			
3.10.1. Documented procedures in place to securely manage keys of trucks, trailers, pad locks, king pins etc.	(M)✓	(M)✓	✓
3.10.2. Keys and spare keys kept separately. Spare keys kept in a secure environment.	(M)✓	(M)✓	(M)✓
3.11 Unauthorized persons			
3.11.1 Procedures in place to prevent unauthorized parties present in truck or trailer (like hitchhikers, spouses, children etc)	(M)✓	(M)✓	(M)✓
4. Personnel Security			
4.1. Screening/Vetting within constrains of local legislation			
4.1.1 Criminal history checks (applicability depending on local law)	(M)✓	(M)✓	(M)✓
4.1.2 Statement of clearance by police or authorities available at supplier	(M)✓	(M)✓	(M)✓

Supplier Transportation Physical Security Requirements	Applicable to Final Classification		
	1	2	3
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4.2 Pre- employment checks			
4.2.1 Checks a five year period with previous employers.	(M)✓	(M)✓	
4.2.2 Relevant experience in transportation/logistics with a minimum of two years.	(M)✓		
4.2.3 All employees own and sub-contracted, submitted to Suppliers process of pre-employment checks by Supplier.	(M)✓	✓	✓
4.3 Hiring and termination procedures			
4.3.1. Documented procedures for hiring and termination of employees, contractors or temporary workers	(M)✓	(M)✓	✓
4.3.2. Termination procedures in place for employees and sub-contractors, ensuring return of ID's, access cards, keys and other sensitive information	(M)✓	(M)✓	✓
4.3.3 Procedures in place preventing systems access to Buyer's data by terminated employees	(M)✓	(M)✓	✓
4.3.4. Records kept preventing Supplier from re-hiring terminated employee/sub-contractor without considering previous background	(M)✓	(M)✓	✓
5. Training			
5.1 Security Awareness			
5.1.1 Documented program for drivers to attend security awareness training and consequent rehearsal. Training to comprehend: recognizing situations of threat, how to address police etc.	(M)✓	(M)✓	✓
5.2. Robbery Response training			
5.2.1 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	(M)✓	(M)✓	
5.3. Collect and delivery training			

Supplier Transportation Physical Security Requirements	Applicable to Final Classification		
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5.3.1. Documented program for drivers to attend training on collect and delivery handover procedures of cargo to prevent crime of deception or fraud.	(M)✓	(M)✓	(M)✓
<p>6. Enhanced Security Requirements</p> <p>This section contains requirements that are only relevant if mandated by Buyer and subject to formal agreement to cover specific requirements.</p>			
<p>6.1 Drivers</p>			
6.1.1. Supplier capability to provide double drivers in agreement with Buyer to install double drivers on high risk routes and/or destinations or carrying a high value/risk load.	(M)✓		
6.1.2. In case of stops, planned or unforeseen, one of two drivers will attend the load at all times.	(M)✓		
<p>6.2 Truck escorts (armed where local law permits) Cost shall be borne by Buyer</p>			
6.2.1 Provide overt and covert escorts with real time communications with driver, to base and indirect to local police; written documentation in place	(M)✓		
6.2.2 Documented response procedures and training for escort personnel	(M)✓		
6.2.3 Escort personnel screened and vetted (annually) as far as local allows and in possession of company ID card at all times	(M)✓		