

Guidance Notes – FSR 2014



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Definition (page 13)

TERM	DEFINITION	GUIDANCE/ AMENDMENT
BACKED UP	To make a copy of a data file which is stored securely in a separate location and can be used as a security copy.	To make a copy of a data file and is stored in a separate location from the original and can be used as a security copy. <i>Note – separate location does not imply that it needs to be in a different address.</i>
CCTV	CCTV An internal and /or external colour or day/night camera system.	An internal and /or external colour or day/night camera system. (Day/night camera are security cameras that function during the day hours, when there is enough sunlight, and during the night in total darkness or minimum illumination - this are not black & white CCTVs)
REGULARLY	At least weekly,	At least weekly, unless specifically addressed in the area of concern
WORKFORCE	All Employees, Temporary Agency Staff, Subcontractors, unless individually identified	All Employees, Temporary Agency Staff and Subcontractors.

Perimeter Security (1.1.) - Warehouse cargo handling, shipping and receiving yard

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
14	1.1.1	Physical barrier encloses cargo handling, shipping and receiving yard.	A facility is in compliance of option 1 of the req 1.1 in the instance if only 3 sides of a facility can be fenced as the facility shares a common wall, with another organization.
14	1.1.2.	Physical barrier height is a minimum of 6 feet/1.8 meters.	The height of the physical barrier may vary <ul style="list-style-type: none"> - from inside the fence to one taken outside the fence - along the perimeter of the fence, The height at any of this location should meet the minimum of 6 feet/ 1.8 meters. The height of the Gates should be at least 6 feet if unguarded. The use of a gate lower than 6 feet in height is unacceptable
14	1.1.6 1.1.12	Cargo handling and receiving yard is adequately controlled to prevent unauthorized access .	Duplicate entries – 1.1.6 and 1.1.12 For Level B and C facilities, 1.1.6 will apply and 1.1.12 is inapplicable

Guidance Notes – FSR 2014

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CCTV shipping and receiving yard (1.2) - CCTV coverage of all external dock area

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
15	1.2.1.	CCTV able to view all traffic at shipping and receiving yard (including entry and exit point) ensuring all vehicles and individuals are recognizable at all times unless temporary obstruction due to operational needs (i.e. truck unloading).	<i>Recognizable</i> - A unique or distinguishing feature that identifies the specific object or person, however for vehicles entering the facility, however the vehicle registration number should be visible and clear at least once while the vehicle is entering, exiting and movement within the facility. At all other instances the unique and distinguishing features that identifies the vehicle should be clear at all times.

CCTV Systems (1.3) - CCTV coverage of all external dock area

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
15	1.3.2.	Cameras mounted to be able to view all operations and movement around external dock area	Cameras mounted to be able to view all operations and movement around external dock area unless temporary obstruction due to operational needs (i.e. truck unloading).

Perimeter Windows, and Other Opening (1.9.) - Windows and any openings in warehouse walls and roof secured

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
17	1.9.1	All windows and any openings (smoke vents, air vents), in warehouse walls protected by physical means (bars, mesh or any other material that would harden opening to burglary).	There will be instances, where both requirements 1.9.1 and 1.9.2 would be applied by the LSP at different locations in the facility. This is acceptable, however the auditor must score both 1.9.1 & 1.9.2 in the audit form If there is an office sharing a wall with the warehouse, then either the windows in the office or the windows on the wall being shared with the warehouse be mitigated with either 1.9.1 or 1.9.2
17	1.9.2	All windows and any openings (smoke vents, air vents), in warehouse walls alarmed to detect unauthorized opening and linked to main alarm system.	

Guidance Notes – FSR 2014



This guidance notes provides clarity and recommend the context and the intent of the requirements of the 2014 FSR.

Perimeter Windows, and Other Opening (1.12.) - Exterior walls and roof designed and maintained to resist penetration or alarmed

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
17	1.12.3.	If Interior floor to ceiling multi-tenant walls are constructed of security grade wire mesh or other industry recognized secure barrier then it is also to be alarmed to detect intrusion. Note: netting, low grade fencing or non-security grade mesh is not allowable	SWG 10 gauge Welded or Woven Wire with maximum hole size of 2" x 2".

Perimeter Alarm Detection - All facility external doors alarmed

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
16	1.8.1	All exits from warehouse used for emergency purposes only (Fire exits etc) alarmed at all times with an individual or zoned auditable sounder so area can be identified and linked to main alarm system.	All exits from warehouse used for emergency purposes only (Fire exits etc) alarmed at all times with an individual or zoned <u>locally audible</u> sounder so area can be identified and linked to main alarm system.

Access Control - Office Areas, Office Entrances (2.1) - Visitor entry point(s) controlled

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
19	2.1.3	Duress (panic) alarm installed in covert position in visitor entry point(s) and tested regularly.	The duress alarm installed can be silent or audible in the vicinity of the activation.

Limited Access to Dock Areas (3.2.) - Access to dock/warehouse

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
20	3.2.2	Access list reviewed on regular basis to limit/verify that access is only granted to designated/authorized personnel, processes are documented.	Access list reviewed monthly to limit/verify access and updated in real time when employee leaves employment or no longer requires access . Access is only granted to designated/authorized personnel, processes are documented.

High Value Storage Areas (3.3.) - High Value Cage specifications

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
21	3.3.3	Complete CCTV (Colour or “day/night” cameras) coverage on cage or vault entrance and internal area.	The intent of this requirement is that the cage or vault entrance and internal area have CCTV coverage. To meet the intent of the CCTV coverage in the

Guidance Notes – FSR 2014



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			internal area, the cameras may be located outside the cage or vault , especially when it is caged and too small for the cameras to be located inside
21	3.3.7	If access to the HV cage is needed by more than 10 persons then access is to be controlled electronically by card/fob. If access is required by 10 or less persons then,....	A fob, or more commonly called a key fob, is a small security hardware device with built-in authentication used to control and secure access to network services and data. A user first authenticates themselves on the key fob with a personal identification number (PIN), followed by the current code displayed on the device.

CCTV Coverage (3.6.) - Buyer assets under CCTV surveillance

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
22	3.6.1	Buyer assets under 100% CCTV surveillance in cargo movement or staging areas (i.e. pallet breakdown/ build up areas, routes to and from storage racks, dock, transit corridors).	The transit corridors needs to be covered by CCTV, including cargo lifts where the forklift driver is in the cargo lift with the cargo

Intrusion Detection (3.7)

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
22	3.7.1	All facility external warehouse doors alarmed to detect unauthorized opening and linked to main alarm system.	Not applicable (N/A) here <i>Duplicate entry (similar to 1.8.1)</i>
22	3.7.2	System activated during non-operational hours	Intrusion detection alarms installed in warehouse, with the system activated during non-operational hours and linked to the main alarm system (<i>applies to Level A, B and C</i>)
22	3.7.3	Intrusion detection alarms installed in office and warehouse to detect intrusion outside non-operational hours	Intrusion detection alarms installed in the office, with the system activated during non-operational hours and linked to the main alarm system (<i>applies to only Level A</i>) The need for office to have intrusion detection is based on the warehouse, i.e., if the warehouse requires intrusion detection, then for a level A facility, the office requires it.

Guidance Notes – FSR 2014

This guidance notes provides clarity and recommend the context and the intent of the requirements of the 2014 FSR.

Security Systems (4.5) - Alarms transmitted and monitored

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
24	4.4	Heading - CCTV Systems	The blue label should be replaced by Security Systems
24	4.5.1	Alarm transmitted on power failure/loss.	On a facility, which has a UPS, the alarm is transmitted when the UPS battery runs down.
24	4.5.2.	Alarm set verification in place.	Documented procedures validating that alarms are armed during non-operational hours. Upon activation of alarm, process in place to ascertain location of alarm and cause of the alarm.
24	4.5.4	Back-up communication system in place on device and/or line failure.	Clarification needed that ping signal on single communication line (or similar technology on single communication line identifying line failure) as backup "communication" system is acceptable

Security Procedures (5.1) - Escalation procedures

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
27	5.1.4	Listing regularly updated and includes law enforcement emergency contacts	Listing updated <i>in real time whenever there are changes</i> to include law enforcement emergency contacts. <i>Listing to be reviewed on an annually basis to ensure that it is current.</i>

Security Procedures (5.8) - Driver identification

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
29	5.8.3	Where allowed by local law, vehicle identifiers are logged manually (i.e. written) or with cameras. Include at a minimum licence plate, vehicle type and colour.	Where allowed by local law, vehicles are logged manually (i.e. written) or with cameras. These logs include at a minimum licence plate, vehicle type and colour.

Guidance Notes – FSR 2014

This guidance notes provides clarity and recommend the context and the intent of the requirements of the 2014 FSR.



Security Procedures (5.12) - Pre-loading and staging

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30	5.12.1	No pre-loading or parking of FTL/dedicated Buyers trucks during non -operational hours, externally of the warehouse facility unless mutually agreed between Buyer and LSP including identification and implementation of any alternative preventative security measures (e.g. additional security devices on container)	No pre-loading or parking of FTL/dedicated Buyers trucks during non -operational hours, unless mutually agreed between Buyer and LSP including identification and implementation of any alternative preventative security measures (e.g. additional security devices on container) <i>Note – Externally of the warehouse facility means within the LSP’s yard/ perimeter fence.</i>

Security Procedures (5.15) - Personal vehicles access

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
30	5.15.1	Personal vehicles only permitted to shipping and receiving areas if pre-approved and restricted to signed/designated parking areas. No personal parking within 25m walking distance to dock areas.	Personal vehicles only permitted to shipping and receiving areas if pre-approved and restricted to signed/designated parking areas. No personal parking within 25m walking distance to dock areas, measured from the nearest doors area/ platform.

Security Procedures (5.16) - Control of cargo-handling equipment

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
30	5.16.1	All forklift and other powered cargo-handling equipment disabled during non-operational hours	Does not include hand-jacks/ pallet jacks

Security Procedures (5.17) - Container or trailer integrity

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
31	5.17.1.	Seven-point physical inspection process or equivalent checks performed for all outbound dedicated Buyer’s containers or trailers: Frontwall, Left Side, Right Side, Floor, Ceiling/Roof, Inside/Outside Doors and Locking Mechanism, Outside/Undercarriage.	Applies to all types of trailers & containers under lock and/or seal, not limited to Ocean freight containers

Guidance Notes – FSR 2014



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Security Procedures (5.18) - Maintenance programmes

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31	5.18.4	Response-time to initiate/call out for security system is not more than 2 working days.	Response-time to initiate/call out for security system is to be carried out as soon as the fault is identified and the repair/ replacement should be carried out and completed within 48 hours.

Background Checks (Vetting) Workforce Integrity (6.1) - Screening/vetting of workforce

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
32	6.1.1	The LSP 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 will also require an equivalent process be applied at contracting companies supplying TAS workers.	Vetting period of 5 years is a minimum (as allowed by local law)
	1.3	LSP 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.	
32	6.1.2	TAS (Temp Agency or Subcontracted worker) is required to sign declaration that they have no current criminal convictions and will comply with LSP's security procedures.	TAS (Temp Agency or Subcontracted worker) is required to sign declaration that they have no criminal convictions (current/ or previous) and will comply with LSP's security procedures.

Guidance Notes – FSR 2014



This guidance notes provides clarity and recommend the context and the intent of the requirements of the 2014 FSR.

Background Checks (Vetting) Workforce Integrity (6.2) - Termination of workforce

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
32	6.2	Termination of workforce	Section on Termination of workforce applies to separation of the workforce - both voluntary and involuntary - terminated and resigned workforce.
32	6.2.3	Procedures are in place to prevent LSP from re-hiring workforce if denial/ termination criteria are still valid	Records are in place to consider before re-hiring; <ul style="list-style-type: none"> - background of previously terminated personnel or - rejected applicants (that were denied employment) previously

Freight Handover Process (7.1) - Security seals

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
33	7.1.1	Process in place for the use of tamper evident security seals, electronic or manual, that meets the ISO 17712 standard, unless on Buyer’s exemption.	The approach is that the tamper evident seals that meet the ISO17712 standard must be applied unless there is evidence that the buyers exempt it.

Freight Handover Process (7.5.) - Pre-alert process in place

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
34	7.5.1	Where Buyer requires, pre-alert process applied to inbound and/or outbound shipments	The capability needs to be in place for pre-alerts, and if required or requested by buyer, the LSP needs to have the pre-alerts.
34	7.5.2	Where Buyer requires, pre-alert details must be agreed by Buyer and LSP. Suggested details include: departure time, expected arrival time, trucking company, driver name, licence plate details, shipment info (piece count, weight, bill-of-lading number, etc.) and trailer seal numbers	The capability needs to be in place for pre-alerts, and if required or requested by buyer, the LSP needs to have the pre-alerts. When requested by buyer, the pre-alerts details to be agreed with buyer, otherwise the pre-alert capability to incorporate the suggested details.

Freight Handover Process (7.6.) - POD (Proof of Delivery)

Page	Req	Area for concern	GUIDANCE/ AMENDMENT
34	7.6.1	Destination to notify origin within 4 hours of receipt of shipment, reconciling pre-alert shipment details	Where Buyer requires, destination to notify origin within 4 hours of receipt of shipment, reconciling pre-alert shipment details