TAPA

Transported Asset Protection Association

GENERAL GUIDELINES

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

STEP 1 – Trained person (Qualified auditor)

a) You have a member of staff who is trained on TSR / FSR (new 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 Asia Pacific Standard.

STEP 2 - Documents

You will need to access the TAPA Asia Pacific website and under the heading 'Industry 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) Audit Report Form
c) Waiver Form (if applicable)

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

*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.

The report form has to be typed, handwritten copy is not accepted. The copy of Audit form can be downloaded from TAPA Asia Pacific website.

STEP 3 – Submitting your application

1) Complete Self-Certification Audit and record onto the 'Audit Report Form'.
2) Complete the 'Submission Form'
3) Payment (Currently the TAPA self-certification audit is free for members.).
4) Complete 'Waiver' if necessary

Send documents to: self.certification@tapa-apac.org

STEP 4 – Acknowledgement - Pass

You will receive an acknowledgement email confirming the date the self-certification audit was received and an identification number for tracking the status.

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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 Asia Pacific.

2) Request arbitration on the application.

STEP 7 – Arbitration (if applicable)

Arbitration will be provided or refused by TAPA Asia Pacific 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 Asia Pacific via self.certification@tapa-apac.org

STEP 9 – Failure to submit the self-assessments

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

STEP 10 – Audit evaluation visit

During the three-year certification period, TAPA Asia Pacific reserves the right to conduct an audit evaluation visit. If the results of the evaluation visit show any non-compliance with the requirements of the Standard, the certificate can be revoked.

STEP 11 – Membership renewal

During the three-year certification period, it is requested to renew the membership every year to keep the validity of the certificate.

METHODOLOGY

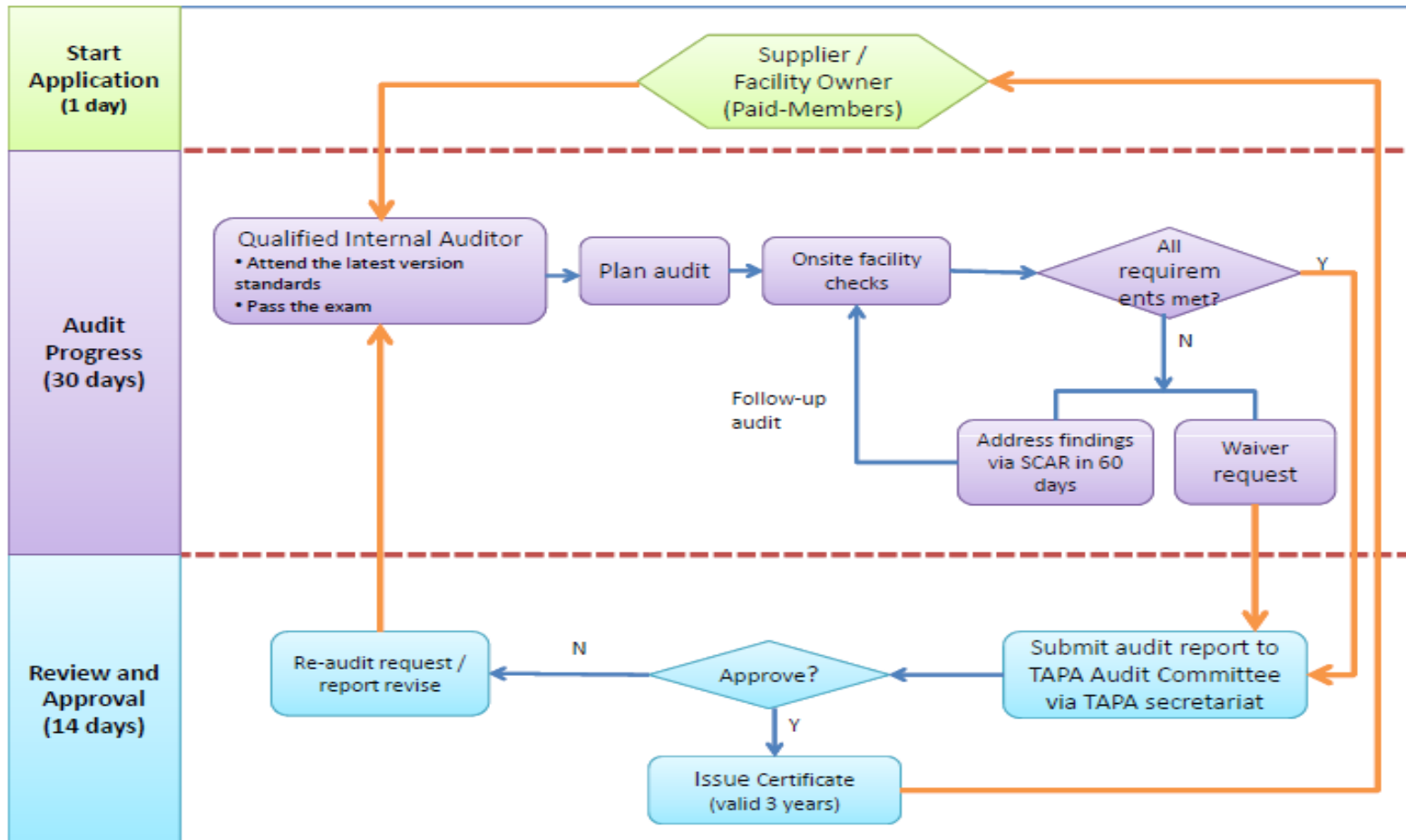| Submission Process	Progression	Administrative Actions
A member submits a self-certification submission form and audit report form to: self.certification@tapa-apac.org	Initial self-certification Submission Form registered & processed by Secretariat. Acknowledgement email confirming the date the self-certification audit was sent to applicants, as well as an identification number for tracking the status.	- Secretariat check if the named auditor specified on the form has undertaken the TAPA training course relevant to the application and passed the course test; - Secretariat confirm the applicant is active member of TAPA Asia Pacific. - Secretariat confirms application is correctly completed and all specified documentation are attached to the submission; 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.
1st round review by TAPA Asia Pacific Secretariat	Conducts 1st round 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.	Secretariat will revert to applicant within 5 working days should errors or insufficient information be in the form.
Verification Process		
Secretariat send the audit report which passed the 1st round review to TAPA Asia Pacific Audit committee for further vetting.	Audit committee will evaluate the application.	Secretariat will revert to applicant within 10 working days if the audit report has been approved or failed. If the application fail, further supporting documents may be requested.

Please refer to the full Standards document and audit form on the TAPA Asia Pacific website at www.tapa-apac.org

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Submission Process	Progression	Administrative Actions
Verification Process		
Request for Supporting / Extra Evidential Information.	Secretariat 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 recorded and processed by Secretariat.
Waiver Requests		
Secretariat will identify any 'Waiver Requests' attached to the 'Submission Form' & 'Audit Report Form'.	'Waiver Requests' will be dealt with in line with the TAPA Asia Pacific Waiver Request procedure.	'Waiver Requests' will be recorded and forwarded to audit committee by secretariat. Notification will be sent to applicants via email if the request was approved or refused within 10 working days.
Approval Process & Certificate Issued		
Self-Certification Audit Approved	Secretariat to notify via email the applicant that the audit has been Approved (PASS).	Secretariat recorded the status of approved report, and prepare the certificates for applicants. Certificate will be issued within 5 working days from the approved date.
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 Secretariat will make a referral to the TAPA Asia Pacific Audit Lead.	- The Audit committee Lead will review the request and either communicate with the respective TSR / FSR / Leads and or Quality Lead to resolve and clarify outstanding issues. - The Audit Standards Lead may also request the support of other experts in forming his/her decision. The Audit committee Lead will subsequently inform the Secretariat. - The Secretariat will notify the applicant by email concerning the arbitration decision.

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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 Asia Pacific will require confirmation that a subsequent evaluation self-assessment has taken place and evidence of such be sent to the TAPA Asia Pacific Secretariat. Secretariat will forward the self-assessment report to audit committee for review.	Secretariat will notify members the decision to continue the lifetime of the audit or request further information or revoke the original certificate on self-certification dependent upon feedback from the Audit committee.
Expiration of a self-certification audit after 3 years	Secretariat 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.	Secretariat will follow up with the certification renewal.
Expiration	If the applicant takes no action to re audit the expiration date shall be placed into the self-certification TAPA Asia Pacific, an email notification shall be sent to the applicant that they are no longer certified and that any usage of TAPA Asia Pacific logo and or referenced Standards should be deleted.	After expiration of a certificate by an applicant TAPA Asia Pacific Secretariat will make a visual examination of the applicant's website to ensure that TAPA Asia Pacific information is not displayed in an erroneous manner.
TAPA Asia Pacific Website & LookOut	The status of any self-certification audit shall be updated on the TAPA Asia Pacific website. Notifications will also be published on TAPA LookOut.	Maintained by TAPA Asia Pacific administration team.
Shadow Audit	Approximately 5% of self-certification audits shall be subject to a 'Shadow Audit Visit' by a person / or body nominated by TAPA Asia Pacific. 'Shadow Audit Visit' shall be assessed on a quarterly basis.	'Shadow Audit Visit' shall be recorded by Secretariat. It is a 'term and condition' of self-certification auditing that an 'Shadow Audit Visit' cannot be refused. The date of any ''site visit' to conduct an 'Shadow Audit Visit' shall be agreed and negotiated with the applicant in advance.

Please refer to the full Standards document and audit form on the TAPA Asia Pacific website at www.tapa-apac.org

FLOW CHART

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| Start Application (1 day) | Supplier / Facility Owner (Paid-Members) |

Audit Progress (30 days)

Qualified Internal Auditor
• Attend the latest version standards
• Pass the exam

Plan audit → Onsite facility checks → All requirements met?

Follow-up audit

Y

N

Address findings via SCAR in 60 days

Waiver request

Review and Approval (14 days)

Re-audit request / report revise ← N ← Approve? ← Submit audit report to TAPA Audit Committee via TAPA secretariat

Y

Issue Certificate (valid 3 years)

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