



## Security and Chain of Custody SOP

### 1. Purpose

The purpose of this SOP is to establish standardized security and chain of custody controls for all shipments handled by Sir Lancelot Logistics. This procedure ensures shipment integrity, traceability, controlled access, and documented custody transfer throughout the shipment lifecycle.

This SOP supports the Quality Management System (QMS) and aligns with related procedures, including Deviation & Incident Management, Control of Records, Cross-Dock Seal Verification, and Shipment Lifecycle Processing.

All security and chain of custody activities are performed in alignment with Good Distribution Practice (GDP) to ensure shipment integrity and product quality. Good Documentation Practice (GDocP) and ALCOA+ principles are applied to all records to maintain data integrity.

### 2. Scope

This SOP applies to:

- All shipments handled, stored, transported, or cross-docked by the company
- All employees, contractors, drivers, and temporary staff involved in shipment handling
- All facilities, vehicles, staging areas, and temporary holding locations

All custody transfer points are included: pickup, cross-dock receipt, dispatch, and final delivery.

This SOP covers:

- Physical shipment security
- Seal control and verification (cross-dock line hauls)
- Custody transfer documentation
- Access control
- Incident and tamper response
- Security records retention
- Personnel security and contractor vetting



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### 3. Policy

#### 3.1 General Policy

- All personnel handling shipments must ensure security, integrity, and traceability of all shipments.
- Chain of custody must be maintained at all points from pickup to delivery.
- All documentation must follow GDocP principles: legible, accurate, attributable, contemporaneous, and complete.
- All custody and security records must follow ALCOA+: Attributable, Legible, Contemporaneous, Original, Accurate, Complete, Consistent, Enduring, and Available.
- Any deviations from standard procedures must be handled according to the Deviation & Nonconformance Management SOP.

#### 3.2 Definitions

- **Chain of Custody:** Documented and traceable control of a shipment from pickup through final delivery, including each transfer point.
- **Custody Transfer:** The point at which responsibility for a shipment moves from one party to another and is documented.
- **Secure Area:** A restricted-access area designated for shipment staging or storage.
- **Seal Verification:** The process of matching a physical seal number to shipping documentation prior to opening a shipment.
- **Independent Contractor (IC) Vetting:** Verification and approval process for contractors, including background checks, identity verification, and credential validation.

### 4. Responsibilities

#### Quality Manager

- Maintains this SOP
- Verifies compliance through periodic review
- Reviews incidents and custody deviations
- Ensures records are retained per Control of Records SOP



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### Operations Manager / Supervisor on Duty

- Enforces security controls
- Resolves seal and custody discrepancies
- Authorizes shipment holds or releases
- Ensures incident escalation

### Dispatch Personnel

- Maintain shipment traceability in dispatch systems
- Ensure custody status updates are recorded
- Confirm driver assignment and release controls
- Verify IC compliance status before shipment assignment

### Receiving / Warehouse Personnel

- Perform seal checks for cross-dock line hauls
- Document receipt condition
- Maintain secure staging controls

### Drivers / Couriers

- Maintain shipment control while in transit
- Prevent unauthorized access
- Obtain custody signatures at pickup and delivery
- Immediately report incidents or tampering

## 5. Personnel Security Controls

- All employees and independent contractors (ICs) must be vetted before handling shipments.
- Contractors are vetted via a third-party platform or internal process, including:
  - Background checks
  - Identity verification



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- Credential validation (e.g., driver's license, insurance)
- Ongoing compliance monitoring
- Contractors are not eligible to be assigned shipments until vetting is complete and compliance status is current.
- Access to secure areas and shipment handling privileges is granted only to approved personnel.
- Access is revoked immediately upon termination or compliance failure.
- Training completion for custody and security procedures is required before any shipment handling responsibilities.
- Personnel handling high-value or sensitive shipments must comply with GDP principles.

### 6. Security Controls

#### 6.1 Facility Security

- Shipment staging areas must be access-controlled
- Visitor access must be supervised
- Unauthorized personnel are not permitted in shipment handling areas
- Sensitive shipments must be placed in designated secure areas in accordance with GDP principles

#### 6.2 Shipment Access Control

- Only assigned personnel may handle shipments
- Shipments must not be left unattended in unsecured areas
- Vehicle cargo areas must remain locked when unattended
- After-hours storage must occur inside controlled areas

### 7. Chain of Custody Requirements

- Chain of custody must be documented at each custody transfer point.
- Required custody records include:



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- Pickup confirmation
- Transfer between staff or departments
- Cross-dock receipt and release
- Driver dispatch assignment
- Final delivery confirmation
- Exception or incident documentation
- Each record must include:
  - Date and time
  - Printed name of responsible party
  - Signature or verified digital confirmation
  - Shipment reference number
  - Condition notes if applicable
- All records must comply with ALCOA+ principles:
  - Attributable
  - Legible
  - Contemporaneous
  - Original
  - Accurate
  - Complete, Consistent, Enduring, Available
- All electronic or paper custody records are controlled documents per the Control of Records SOP.

### 8. Cross-Dock Seal Verification Integration

- Seal verification is mandatory before opening or unloading cross-dock line haul shipments
- Seal number must match the Bill of Lading



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- Seal condition must be visually inspected
- Verification must be recorded in an approved log or system
- Photo capture is recommended when devices are available

If seal mismatch, damage, or tampering is observed:

- Stop processing immediately
- Do not unload
- Notify Supervisor on Duty
- Place shipment on security hold
- Process under Deviation & Incident SOP

Facility custody is considered accepted only after seal verification is completed and documented.

### 9. Shipment Handling Controls

Personnel must:

- Verify shipment identifiers at each transfer
- Match shipment to job/order number
- Record condition at receipt and transfer
- Use tamper-evident packaging when required by client
- Prevent co-mingling of incompatible shipments when specified

### 10. Incident and Security Breach Response

- Report immediately:
  - Broken or mismatched seals
  - Missing shipments
  - Evidence of tampering
  - Unauthorized access



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- Lost custody documentation
- Vehicle break-ins or security threats

### Required actions:

- Secure the shipment
- Notify Supervisor and Quality
- Document facts only in compliance with GDocP and ALCOA+ principles
- Initiate deviation/incident record
- Follow customer notification rules if applicable

### 11. Documentation Systems

- Approved custody and security records may be maintained in:
  - Dispatch management systems
  - Mobile applications
  - Approved QMS portal systems
  - Controlled shared drives
  - Approved hard copy logs
- Records must not be stored in unauthorized locations and must comply with GDocP principles.

### 12. Records Retention

- All chain of custody, security, and personnel compliance records are QMS records and must be:
  - Stored in approved systems
  - Access controlled
  - Retained per Control of Records SOP
  - Minimum retention: 3 years unless customer or regulatory requirement applies
  - Protected from alteration



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### 13. Training Requirements

Personnel involved in shipment handling must be trained on:

- Chain of custody requirements
- Seal verification (where applicable)
- Security incident reporting
- Custody documentation procedures

Training completion must be recorded in the training record system.

### 14. Internal Review

Security and custody controls will be periodically reviewed through:

- Internal audits
- Incident trend review
- Management Review meetings
- Operational performance checks
- GDP compliance checks will be included in audits and management reviews.
- Non-conformances with chain of custody, documentation integrity, or security controls must be tracked and corrective actions applied.



**Security and Chain of Custody SOP**

**REVISION CONTROL**

The following is the revision history for this document.

Version	Change Description	Eff Date	Approver	Approver
1.0	Creation	4 MAR 2026		
1.0	SOP name correction in section 3.1– Deviation & <b>Incident</b> was replaced by Deviation & Nonconformance - Management SOP	31 Mar 2026	DocuSigned by: <i>Bill Maloney</i> C34D253392F940F... 3/31/2026	Signed by: <i>Vince Lambert</i> 213BC8E41A9D48A... 4/7/2026

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Editor Delivery Events	Status	Timestamp
Agent Delivery Events	Status	Timestamp
Intermediary Delivery Events	Status	Timestamp
Certified Delivery Events	Status	Timestamp
Carbon Copy Events	Status	Timestamp
Witness Events	Signature	Timestamp
Notary Events	Signature	Timestamp
Envelope Summary Events	Status	Timestamps
Envelope Sent	Hashed/Encrypted	3/31/2026 12:50:05 PM
Certified Delivered	Security Checked	4/7/2026 10:13:00 AM
Signing Complete	Security Checked	4/7/2026 10:17:45 AM
Completed	Security Checked	4/7/2026 10:17:45 AM

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