

**BUYER AUDIT FORM**

**TAPA  
MINIMUM SECURITY STANDARDS FOR FREIGHT SERVICES SUPPLIERS  
FREIGHT SECURITY AUDIT REPORT**

<b>Company</b>		<b>Date of Audit</b>	
<b>Location</b>		<b>Phone Number</b>	
<b>Contact Name</b>		<b>Fax Number</b>	
<b>AUDITOR(s)</b>		<b>Email</b>	

<b>Audit Rating Score</b>			
<b>Point Value</b>	<b>Description of Measurement Criteria</b>	<b>Standard</b>	<b>Point Value</b>
<b>0</b>	Not present/utilized - No plans to adopt/implement	<b>Not Acceptable</b>	FAIL: Does not meet Overall Requirements
<b>1</b>	Generally present	<b>Acceptable</b>	PASS: Meets Overall Requirements
<b>2</b>	Firmly in place and adopted as best practice	<b>Acceptable</b>	PASS: Exceeds Overall Requirements
<b>X</b>	Requirement does not apply	<b>Not Applicable</b>	None

<b>Audit Results</b>			
		<b>Previous Audit Result</b>	<b>Improvement Status</b>
<b>Facility Classification</b>	A		
<b>Total Score</b>	0.0		
<b>Possible Score</b>	144		
<b>Percentage</b>	0.00%		
<b>Mandatory Items (M)</b>	Did not meet 1 or more Mandatory Items (M)		
<b>Overall Standard</b>	<b>FAIL: Does not meet Overall Requirements</b>		

Audit Form						
1. Perimeter Security	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
1.2 CCTV Systems	(M) 1.2.1 - CCTV external coverage of shipping and receiving yard, including entry / exit point, to cover movement of vehicles and people		A		0	
	(M) 1.2.2 - CCTV coverage of all external dock area. (Refer to "Clarification Document")		A		0	
	(M) 1.2.3 - CCTV system able to view all sides of the facility.		A		0	
1.3 Lighting	1.3.1 - Flood lighting of enclosed loading/unloading areas		A		0	
	1.3.2 - Dock doors illuminated externally at night		A		0	
	1.3.3 - External and internal lighting levels that support high quality CCTV images and recording		A		0	
1.4 Perimeter alarm detection	(M) 1.4.1 - All facility external doors alarmed and linked to main alarm system.		A		0	
1.5 Perimeter windows, doors & other openings	1.5.1 - Any windows or other openings in warehouse walls/roof must be secured by steel bars/mesh (or any other material that would harden opening to burglary).		A		0	
	1.5.2 - Ground floor warehouse windows protected by anti-ram posts or other physical barrier. (If no windows, not applicable, mark "X" on audit form)		A		0	
	1.5.3 - Dock doors of sufficient strength or design to prevent or delay forced entry by use of portable hand tools or ramming by vehicle.		A		0	
	1.5.4 - Reinforced exit doors from warehouse (steel doors and frames or suitable alternative).		A		0	
	1.5.5 - Exterior walls to be designed to resist penetration by removing building fabric, cutting or ramming by vehicle		A		0	
Section Total:					0	0.0%
Total Possible:					24	100%
2. Access Control - Office Areas	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
2.1 Office Entrances	2.1.1 - Visitor office access points controlled.		A		0	
	(M) 2.1.2 - All office access points controlled.		A		0	
	2.1.3 - Access control processes both during and outside normal operating hours to ensure access is granted only for authorized Supplier employees and visitors.		A		0	
Section Total:					0	0.0%
Total Possible:					6	100%

3. Facility Dock/Warehouse	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
3.1 Access control between office & dock/warehouse	(M) 3.1.1 - Security controlled access points (e.g., Guard, card access or CCTV with intercom)		A		0	
3.2 Limited Access to dock areas	3.2.1 - Only Suppliers authorized employees and escorted visitors permitted access to dock/warehouse		A		0	
3.3 High Value Storage Area	(M) 3.3.1 - Restricted-access, caged/vault area for assets on site more than 2 hours: High-grade security mesh, chain-link, or hard-wall, including top/roof; alarmed, CCTV, Card Access.		A		0	
3.4 All External dock/warehouse doors secured	3.4.1 - All external dock/warehouse doors secured unless required to be opened for normal transit operations		A		0	
3.5 CCTV Coverage	(M) 3.5.1 - Internal docks covered by CCTV		A		0	
	(M) 3.5.2 -Buyer designated assets under 100% CCTV surveillance while in Supplier Facility (this does not require 100% of floor coverage, rather 100% coverage of Buyer Assets i.e. CCTV from dock to pallet breakdown area to HVP cage).		A		0	
3.6 Motion Detection Alarms	(M) 3.6.1 - Motion detection alarms inside warehouse and activated when entire facility is vacated (N/A if facility is <u>true</u> 24x7x366 operation).		A		0	
Section Total:					0	0.0%
Total Possible:					14	100%
4. Security Systems	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
4.1 Monitoring of Security Systems	4.1.1 - Manned security monitoring post 24x7x366; monitoring post secure from attack.		A		0	
	4.1.2 - All security system alarms dealt with in real-time 24x7x366.		A		0	
4.2 Intruder Alarm System	4.2.1 - Minimum of 60 day records on system alarms.		A		0	
	4.2.2 Restricted access to alarm system.		A		0	
	4.2.3 Monitoring of alarms by police or security contractor.		A		0	
4.3 CCTV System	4.3.1 All CCTV images are recorded in real time (VCR or digital-recording system). No more than 16 cameras to 1 tape/disk. If VCR, no more than 12 hours of images on one tape.		A		0	
	4.3.2 - Restricted access to CCTV system functions		A		0	

	<b>(M) 4.3.3</b> Minimum 30-day retention of all CCTV recordings; recordings are held in secure storage area.		A		0	
	<b>4.3.4</b> - Preventative maintenance plan in place for CCTV systems (can be contracted or in house).		A		0	
<b>4.4 Card Access System</b>	<b>4.4.1</b> - Minimum 60 day records on system transactions.		A		0	
	<b>4.4.2</b> - Restricted access to system functions.		A		0	
	<b>4.4.3</b> - Quarterly review of card access reports.		A		0	
<b>4.5 Security System Maintenance</b>	<b>4.5.1</b> – Preventative maintenance plan in place to routinely test and service access control and alarm systems.		A		0	

Section Total: 0 0.0%  
Total Possible: 26 100%

5. Security Procedures	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
<b>5.1 Adequate Documented Security Procedures</b>	<b>5.1.1</b> - Local documented procedures for handling Buyer's assets and escalation procedures for communicating security incidents to buyer		A		0	
	<b>5.1.2</b> - Process for timely reporting of incidents of lost or missing Buyer's assets. Incidents to be reported by the Supplier to the Buyer within 12 hours for missing assets and 24 hours for lost assets		A		0	
	<b>5.1.3</b> - Emergency customer and local management contacts for security incidents listed and available		A		0	
	<b>5.1.4</b> - Supplier Security policy Statement available and communicated to all employees		A		0	
	<b>5.1.5</b> – Security awareness training (including robbery response training) for all dock, warehouse, Security and reception employees.		A		0	
	<b>5.1.6</b> - Employee and contractor ID picture badges required to be issued and worn		A		0	
	<b>5.1.7</b> - Procedures in place to restrict Supplier's, employees, visitors and contractors access to buyers assets		A		0	
	<b>5.1.8</b> - Badge Policy for visitors/contractors in place		A		0	
	<b>5.1.9</b> - Adequate control of paperwork. Restricting knowledge of transit of buyer's assets to "need to know" only (Information Security)		A		0	
	<b>5.1.10</b> - At inbound checkpoint for drivers and crews, identity and authorization are validated.		A		0	
	<b>5.1.11</b> - Keys controlled in areas where Buyers assets are transited / stored.		A		0	

	5.1.12 - Random trash inspection procedures in place for trash removal from dock/warehouse.		A		0	
	5.1.13 - Security incident reporting system and method of tracking local security incidents.		A		0	
	5.1.14 - Pre-loading or post-delivery storage of buyer's assets in trailers.		A		0	
	5.1.15- Personal containers (defined as lunch box, backpacks, coolers, purses, etc.) are controlled in the warehouse.		A		0	
	5.1.16- Exit Searches performed on exit from secure areas used for Buyer assets.		A		0	
	5.1.17 - Personal vehicles access to shipping and receiving yard controlled.		A		0	
<b>5.2 Background Checks (Vetting) within constraints of Local Country Laws</b>	<b>(M) 5.2.1</b> - Criminal history check in place encompassing 5yr criminal history, employment check (vetting within constraints of local country laws)		A		0	
<b>5.3 Terminated Employees &amp; Contractors procedure</b>	5.3.1 - Termination procedures in place for employees and contractors, ensuring return of ID's, access cards, keys and other sensitive information		A		0	
	5.3.2 -Procedure in place to preventing systems access to Buyer's data by terminated employees		A		0	
	5.3.3 - Records kept to prevent Supplier re-hiring terminated employee/contractor without considering previous background		A		0	
Section Total:					0	0.0%
Total Possible:					42	100%
<b>6. Standard Security Requirements</b>	<b>Preventative Measures</b>	<b>Score</b>	<b>Warehouse Classification</b>	<b>"X" if not Scored</b>	<b>Total Score</b>	<b>COMMENTS</b>
<b>6.1 Adequate Cargo Truck Security Devices Installed</b>	6.1.1 - Solid top, hard-sided, locked cargo doors or reinforced soft sided trailer		A		0	
	6.1.2 - Security tamper evident seals for trucks carrying Buyer only shipments		A		0	
	6.1.3 - Vehicle immobilize device in place.		A		0	
	6.1.4 - Two-way voice communication system between vehicle cab, Supplier's base (and escorts, if applicable) and procedures for reporting		A		0	
	6.1.5 Written contingency plans in place for reporting unscheduled events (i.e. stops, delays, route deviation)		A		0	
	6.1.6 – Truck cabins and ignitions keys secured from unauthorized use at all times		A		0	
<b>6.2 Scheduled Routing</b>	6.2.1 - Routes, schedules and planned stops assessed for risk and reviewed		A		0	

<b>6.3 Loading/ Unloading</b>	6.3.1 - Proof of shipping and receiving records (time, date, driver, shipping/receiving personnel, shipment details and quantity)		A		0	
	6.3.2 - When consignee allows, driver present at all loading and unloading operations.		A		0	
Section Total:					0	0.0%
Total Possible:					18	100%
<b>7. Pre-Alerts</b>	<b>Preventative Measures</b>	<b>Score</b>	<b>Warehouse Classification</b>	<b>"X" if not Scored</b>	<b>Total Score</b>	<b>COMMENTS</b>
<b>7.1 System of Pre-Alerts in Place (Supplier to</b>	7.1.1 - Pre-alert capability in place.		A		0	
	7.1.2 - Destination to notify origin within 4 hours of receipt of shipment, reconciling pre-alert shipment details		A		0	
Section Total:					0	0.0%
Total Possible:					4	100%
<b>8. Enhanced Security Requirements</b>	<b>Preventative Measures</b>	<b>Score</b>	<b>Warehouse Classification</b>	<b>"X" if not Scored</b>	<b>Total Score</b>	<b>COMMENTS</b>
<b>8.1 Driver training</b>	8.1.1 - Supplier to provide robbery response training detailing safe and secure actions to be taken during the event a driver is threatened. Details of training are to be available to the Buyer		A		0	
	8.1.2 Security Awareness training provided to drivers on mitigating risk. Details of training are to be available to buyer.		A		0	
<b>8.2 Truck Escorts (Armed where local law permits) Cost shall be borne by Buyer</b>	8.2.1 - Capability to provide overt and covert escorts with real time communications with base and local police; written documentation in place.		A		0	
	8.2.2 - Documented response procedures and training for escort personnel		A		0	
<b>8.3 Vehicle Tracking - subject to availability and negotiated between the Buyer and Supplier</b>	8.3.1 - GPS or similar technology installed on all vehicles transporting buyer's assets.		A		0	
Section Total:					0	0.0%
Total Possible:					10	100%

