

2005 TAPA FSR Scoring Matrix

FOR USE WITH TAPA BUYER AUDIT FORM 2005

Audit Rating Score

Point Value	Process & Procedures - Description of Measurement Criteria	Standard	Action
0	Not present or utilized - No plans to adopt or implement	Not Acceptable:	Immediate SCAR
1	Generally present	Acceptable:	Meets Requirements
2	Firmly in place and adopted as best practice	Acceptable:	Exceeds Requirements

(M) = Denotes mandatory guidelines

Area of Concern	0	1	2
1.Perimeter Security			
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.	<ul style="list-style-type: none"> No exterior camera coverage of shipping and receiving yard area. 	<ul style="list-style-type: none"> Shipping and receiving yard covered by exterior B&W cameras so that the movement of vehicles and people can be viewed. CCTV is able to view all inbound and outbound traffic ensuring all vehicles and people are identifiable. 	<ul style="list-style-type: none"> Shipping and receiving yard covered by exterior color cameras so that the movement of vehicles and people can be viewed. CCTV is able to view all inbound and outbound traffic ensuring all vehicles and people are identifiable.
(M) 1.2.2 CCTV coverage of all external dock area. (<i>Refer to "Clarification Document"</i>)	<ul style="list-style-type: none"> No exterior camera coverage of dock areas. 	<ul style="list-style-type: none"> Dock areas covered via B&W or color exterior cameras. Cameras mounted to be able to view activity around external dock area (cross-sectional, building mounted camera coverage is acceptable). 	<ul style="list-style-type: none"> Dock areas covered via color exterior cameras, all views clear at all times. Recognition of individuals is possible.
(M) 1.2.3 CCTV system able to view all sides of the facility.	<ul style="list-style-type: none"> No exterior camera system. 	<ul style="list-style-type: none"> Exterior camera system in place covering all sides of facility with openings (doors, windows, or any opening greater than 96 square inches, 2.5 square meters). 	<ul style="list-style-type: none"> Color exterior camera system in place covering all sides of the facility, all views clear at all times.

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Area of Concern	0	1	2
1.3 Lighting			
1.3.1 Flood lighting of enclosed loading/unloading areas.	<ul style="list-style-type: none"> • Lighting does not illuminate loading/unloading areas. • Vehicles and personnel cannot be identified. 	<ul style="list-style-type: none"> • Lighting adequate in loading/unloading areas. • Vehicles and personnel visible in most cases. 	<ul style="list-style-type: none"> • Lighting provides daylight conditions. • All personnel and vehicles clearly identifiable.
1.3.2 Dock doors illuminated externally at night.	<ul style="list-style-type: none"> • Lighting does not illuminate the dock doors. 	<ul style="list-style-type: none"> • Most dock doors illuminated but some fixtures not operating. • No documented maintenance program in place. 	<ul style="list-style-type: none"> • All dock doors fully illuminated. • Documented maintenance program in place.
1.3.3 External and internal lighting levels that support high quality CCTV images and recording.	<ul style="list-style-type: none"> • External and internal lighting levels are such that CCTV images and recordings aren't visible/clear. 	<ul style="list-style-type: none"> • External and internal lighting levels are such that CCTV images and recordings are visible/clear. • It may be difficult in some areas to positively identify people/vehicles. • Interior lights kept on 24x7x366. 	<ul style="list-style-type: none"> • External and internal lighting levels are such that CCTV images and recordings are visible/clear. • You can positively identify people/vehicles. • Maintenance program in place and documented. • Interior lights kept on 24x7x366.

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1.4 Perimeter Alarm Detection			
<p>(M) 1.4.1 All facility external doors alarmed and linked to main alarm system.</p>	<ul style="list-style-type: none"> • No alarm system in place monitoring perimeter openings. • Alarm system is in place but system access controls are inadequate or the system does not alarm on power failure/loss. 	<ul style="list-style-type: none"> • Alarm system is in place monitoring perimeter openings. • System access controls are adequate and the system does alarm on power failure/loss. • Emergency exits alarmed at all times with audible alarms and tied into security monitoring vendor 	<ul style="list-style-type: none"> • Alarm system is in place monitoring all perimeter openings. • System access controls are documented and consistently applied. System alarms on power failure/loss. • Emergency exits alarmed at all times with audible alarms and tied into security monitoring vendor. • Alarm contact wire runs are in supervised configuration (trouble signal on device failure). • Radio frequency/cellular back-up alarm communication in place.
1.5 Perimeter windows, doors & other openings			
<p>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).</p>	<ul style="list-style-type: none"> • Windows or other warehouse openings not protected through physical means or via alarm system. 	<ul style="list-style-type: none"> • Windows or other warehouse openings protected by physical means. 	<ul style="list-style-type: none"> • Windows or other warehouse openings protected by physical means and alarm system.
<p>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)</p>	<ul style="list-style-type: none"> • Ground floor windows not protected by any physical barrier. 	<ul style="list-style-type: none"> • Ground floor warehouse windows protected by physical barrier other than anti-ram posts. 	<ul style="list-style-type: none"> • Ground floor warehouse windows protected by anti-ram posts.

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<p>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.</p>	<ul style="list-style-type: none"> • Dock doors can be easily penetrated. 	<ul style="list-style-type: none"> • Dock doors of significant strength to deter entry. 	<ul style="list-style-type: none"> • Steel dock doors and frames of significant strength to deter entry. • Dock door designs prevent ramming. • Dock door designs delay or prevent other forced entry.
<p>1.5.4 Reinforced exit doors from warehouse (steel doors and frames or suitable alternative).</p>	<ul style="list-style-type: none"> • Warehouse pedestrian doors can be easily penetrated. • Hinge pins, if outside, are not spot welded or pinned with tamper proof screws 	<ul style="list-style-type: none"> • Warehouse pedestrian doors cannot be easily penetrated, hinges on outside are pinned or spot welded. • Latch plates used when applicable. 	<ul style="list-style-type: none"> • Warehouse pedestrian doors and frames constructed of reinforced steel. • Hinges on the inside. • Latch plates/deadbolt used when applicable.
<p>1.5.5 Exterior walls must be designed to resist penetration by removing building fabric, cutting or ramming by vehicle.</p>	<ul style="list-style-type: none"> • Exterior and interior multi-tenant walls easily penetrated. • Walls not designed to resist penetration. 	<ul style="list-style-type: none"> • Exterior and interior multi-tenant walls easily penetrated. • Walls alarmed to detect penetration. (Example: metal walls with fasteners accessible from exterior would need alarming) 	<ul style="list-style-type: none"> • Exterior and interior multi-tenant walls constructed/designed to prevent penetration. (Example: brick, block, tilt up concrete slab). • Alarmed to detect penetration.
<p>2. Access Control - Office Areas</p>			
<p>2.1 Office Entrances</p>			
<p>2.1.1 <i>Visitor</i> office access points controlled.</p>	<ul style="list-style-type: none"> • Access at visitor office entry point(s) not controlled. 	<ul style="list-style-type: none"> • Access at visitor office entry point(s) securely controlled and monitored using card access and CCTV. 	<ul style="list-style-type: none"> • Access at visitor office entry point(s) controlled by a Guard or Receptionist during normal business hours. • Access at visitor office entry point(s) securely controlled and monitored using card access and CCTV outside office hours. • Duress alarm installed.

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<p>(M) for A and B level facilities 2.1.2 All office access points controlled.</p>	<ul style="list-style-type: none"> Access points inadequately controlled, unauthorized parties can gain access to the building/office. 	<ul style="list-style-type: none"> Access points controlled through automated access control device. Missing CCTV. 	<ul style="list-style-type: none"> Access control device and intercom/phone in place. Access points securely controlled using CCTV.
<p>(M for C-level facility) 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.</p>	<ul style="list-style-type: none"> No access control processes in place to ensure only authorized personnel gain access. 	<ul style="list-style-type: none"> Access control processes in place outside normal operating hours to ensure only authorized personnel gain access. No controls in place for normal operating hours. 	<ul style="list-style-type: none"> Access control processes in place during and outside normal operating hours to ensure only authorized personnel gain access.
<p>3. Facility Dock/Warehouse</p>			
<p>3.1 Access control between office & dock/ warehouse</p>			
<p>(M) 3.1.1 Security controlled access points (e.g., Guard, card access or CCTV with intercom).</p>	<ul style="list-style-type: none"> Access not controlled between office and warehouse/dock. Door does not alarm when held open. 	<ul style="list-style-type: none"> Access controlled between office and warehouse/dock using secure means. Observed controls being compromised. Door alarms are audible or are tied into a monitoring location. 	<ul style="list-style-type: none"> Access controlled between office and warehouse/dock using secure means. Internal controls prevent compromise. Door alarms are audible and are tied into a monitoring location.
<p>3.2 Limited access to dock areas</p>			
<p>3.2.1 Only Suppliers authorized employees and escorted visitors permitted access to dock/warehouse.</p>	<ul style="list-style-type: none"> No restrictions on who can access dock/warehouse areas. 	<ul style="list-style-type: none"> Some restrictions on who can access dock/warehouse areas. Access not based on business need. All company employees do not have access. 	<ul style="list-style-type: none"> Access to dock/warehouse areas based on a business need and restricted. Access list in place and updated on a regular basis or upon need. All company employees do not have access.

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3.3 High Value storage areas			
<p>(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.</p>	<ul style="list-style-type: none"> • High value asset storage area not in place or inadequate. 	<ul style="list-style-type: none"> • High value asset storage in place. • Perimeter fenced or hard-walled on all sides, including top/roof. • Locking device on door/gate, • CCTV coverage on cage. • Access logged and access list in place. 	<ul style="list-style-type: none"> • High value asset storage in place. • Perimeter fenced or hard-walled on all sides, including top/roof. • Access controlled electronically. • Complete CCTV coverage of storage location. • Alarmed doors/gates. • Access list reviewed on regular basis
<p>(M for B-level facility) 3.3.2 Restricted-access, caged/vault area for assets on site more than 6 hours: High-grade security mesh, chain-link, or hard-wall, including top/roof; CCTV, pad-locked.</p>	<ul style="list-style-type: none"> • High value asset storage area not in place or inadequate. 	<ul style="list-style-type: none"> • High value asset storage in place. • Perimeter fenced or hard-walled on all sides, including top/roof. • Locking device on door/gate. • CCTV coverage on cage. • Access logged and access list in place. 	<ul style="list-style-type: none"> • High value asset storage in place. • Perimeter fenced or hard-walled on all sides, including top/roof. • Access controlled electronically. • Complete CCTV coverage of storage location. • Alarmed doors/gates. • Access list reviewed on regular basis

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3.4 All external dock/warehouse			
3.4.1 All external dock/warehouse doors secured unless required to be opened for normal transit operations.	<ul style="list-style-type: none"> Exterior doors not secured when not in use. 	<ul style="list-style-type: none"> Exterior doors secured with occasional lapses when not in use. Scissor gates in place but left open. 	<ul style="list-style-type: none"> All exterior doors secured when not in use. Floor to ceiling gate if left open. Dock doors are padlocked closed when not in use. Scissor gates in place with dock doors covering remaining opening.
3.5 CCTV coverage			
(M) 3.5.1 Internal docks covered by CCTV.	<ul style="list-style-type: none"> Some or all internal doors not covered by CCTV. 	<ul style="list-style-type: none"> Internal dock doors covered by CCTV. Views not clear/visible in all cases. 	<ul style="list-style-type: none"> All internal dock doors covered by color CCTV. Clear views of each dock door opening at all times.
(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).	<ul style="list-style-type: none"> Buyer designated assets not always under 100% CCTV surveillance at all times. CCTV views unacceptable in HVP, pallet build and dock door areas. 	<ul style="list-style-type: none"> Buyer designated assets always under 100% CCTV surveillance at all times. CCTV views acceptable in HVP, pallet build and dock door areas 	<ul style="list-style-type: none"> Buyer designated assets always under 100% color CCTV surveillance at all times with clear views. CCTV views acceptable in HVP, pallet build and dock door areas.

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3.6 Motion detection alarms			
<p>(M) 3.6.1 Motion detection alarms inside warehouse and activated when entire facility is vacated (N/A if facility is <i>true</i> 24x7x366 operation).</p>	<ul style="list-style-type: none"> • Motion detection alarms not installed in warehouse. • Motion detection alarms not activated during non-operational hours. 	<ul style="list-style-type: none"> • Motion detection alarms installed in warehouse (100% coverage). • System activated during non-operational hours. • One technology used (among a variety of motion detection technologies such as passive or active infrared, photo beam, sonar, microwave, etc.). 	<ul style="list-style-type: none"> • Motion detection alarms installed in warehouse covering all of facility with space to be zoned based on hours of operation. • System activated during non-operational hours. • Dual technology used (combination of items as described under 1)
4. Security Systems			
4.1 Monitoring of security systems			
<p>4.1.1 Manned security monitoring post 24x7x366; monitoring post secure from attack.</p>	<ul style="list-style-type: none"> • Security system not monitored 24x7x366. 	<ul style="list-style-type: none"> • Security system monitored 24x7x366. • Monitoring post (internal or via 3rd party) can easily be compromised. 	<ul style="list-style-type: none"> • Security system monitored 24x7x366. • Secure monitoring post used (internal or via 3rd party)
<p>4.1.2 All security system alarms dealt with in real-time 24x7x366.</p>	<ul style="list-style-type: none"> • Monitoring post responds to alarm trigger in greater than 10 minutes. 	<ul style="list-style-type: none"> • Monitoring post responds to alarm trigger in greater than 5 minute but less than ten minutes. 	<ul style="list-style-type: none"> • Monitoring post responds to alarm trigger in less than five minutes.
4.2 Intruder alarm systems			
<p>4.2.1 Minimum of 60 day records on system alarms.</p>	<ul style="list-style-type: none"> • No records maintained on security system alarms. 	<ul style="list-style-type: none"> • 60 days of security system alarm records maintained. • Security system alarm records not securely stored. 	<ul style="list-style-type: none"> • 60 days of security system alarm records maintained. • Security system alarm records backed up and securely stored.

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<p>4.2.2 Restricted access to alarm system.</p>	<ul style="list-style-type: none"> • Security system access not adequately restricted. 	<ul style="list-style-type: none"> • Security system access restricted. • Controls changed when people depart. 	<ul style="list-style-type: none"> • Security system access restricted. • Controls changed when people depart. • Process documented.
<p>4.2.3 Monitoring of alarms by police or security contractor.</p>	<ul style="list-style-type: none"> • Alarms not monitored by off-site police or security contractor. 	<ul style="list-style-type: none"> • Alarms monitored but not by off-site police or security contractor. 	<ul style="list-style-type: none"> • Alarms monitored by off-site police or security contractor. • Alarm set verification in place. • Response procedures documented
<p>4.3 CCTV systems</p>			
<p>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.</p>	<ul style="list-style-type: none"> • Real time recording not in place. • Tapes not changed twice daily. 	<ul style="list-style-type: none"> • Real time recording in place weekdays. • Tapes changed twice daily on weekdays. • Tapes not changed twice daily on the weekends. • CCTV images recorded with no more than 16 cameras being recorded to one tape/disk. • VCR not connected to alarm system to detect unauthorized stoppage of recording and no other systems in place to ensure equipment is operating. • Digital system not in place. • 1.25 frames per second recorded. 	<ul style="list-style-type: none"> • Real time recording in place. • Tapes changed twice-daily 7 days a week unless digital system in place. • CCTV images recorded with no more than 16 cameras being recorded to one tape/disk. • VCR connected to alarm system to detect unauthorized stoppage of recording and no other systems in place to ensure equipment is operating. • Digital system in place. • System records either continuously or in motion-detection mode. • System records at no less than 1.25 frames (still pictures) per second per camera.

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<p>4.3.2 Restricted access to CCTV system functions.</p>	<ul style="list-style-type: none"> • Access not restricted to CCTV system. 	<ul style="list-style-type: none"> • Access tightly controlled to CCTV system • Equipment in plain view of others. 	<ul style="list-style-type: none"> • Access tightly controlled to CCTV system • Equipment not in plain view of others.
<p>(M) 4.3.3 Minimum 30-day retention of all CCTV recordings; recordings are held in secure storage area.</p>	<ul style="list-style-type: none"> • CCTV recordings stored for less than 30 days. 	<ul style="list-style-type: none"> • CCTV recordings stored for 30 days. • Security of storage controls inadequate. 	<ul style="list-style-type: none"> • CCTV recordings stored for 30 days. • Security of storage controls adequate (physical and, if applicable, network security).
<p>4.3.4 Preventative maintenance plan in place for CCTV systems (can be contracted or in house).</p>	<ul style="list-style-type: none"> • No preventative maintenance program in place for CCTV systems. 	<ul style="list-style-type: none"> • Preventative maintenance program in place for CCTV systems. • Maintenance conducted once a year. • Maintenance program includes cleaning, functionality test and image quality test. • CCTV system generally in good working order. 	<ul style="list-style-type: none"> • Preventative maintenance program in place for CCTV systems. • Maintenance conducted twice a year • Maintenance program includes cleaning, functionality test and image quality test. • CCTV system in good working order. • Documentation in place for verification.
<p>4.4 Card access system</p>			
<p>4.4.1 Minimum 60 day records on system transactions.</p>	<ul style="list-style-type: none"> • No card access system transaction records available. 	<ul style="list-style-type: none"> • 60 days of card access system transaction records available • Card access records not securely stored. 	<ul style="list-style-type: none"> • 60 days of card access system transaction records available. • Card access records backed up and securely stored.

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<p>4.4.2 Restricted access to system functions.</p>	<ul style="list-style-type: none"> • Access not restricted to card access system functions. 	<ul style="list-style-type: none"> • Access restricted to card access control system functions. • Controls not changed when people depart. 	<ul style="list-style-type: none"> • Access restricted to card access control system functions. • Controls changed when people depart. • Process documented
<p>4.4.3 Quarterly review of card access reports.</p>	<ul style="list-style-type: none"> • Quarterly reviews of card access reports and access lists not conducted or documented. 	<ul style="list-style-type: none"> • Reviews of card access reports and access lists conducted. • Reviews conducted less than quarterly. • Documentation in place to verify. 	<ul style="list-style-type: none"> • Quarterly reviews of card access reports and access lists conducted. • Procedure and documentation in place to verify.
<p>4.5 Security system maintenance</p>			
<p>4.5.1 Preventative maintenance plan in place to routinely test and service access control and alarm systems.</p>	<ul style="list-style-type: none"> • Security systems not in good working order. • No preventative maintenance program in place for systems. • No written procedures in place to routinely test and service systems. 	<ul style="list-style-type: none"> • Security systems in good working order. • Preventative maintenance program in place for systems (less than twice a year). • Written procedures in place to routinely test and service systems but not fully followed. 	<ul style="list-style-type: none"> • Security systems in good working order. • Preventative maintenance program in place (twice a year). • Written procedures in place to routinely test and service systems. • Written procedures fully followed. • Physical alarm checks done weekly.

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5. Security Procedures			
5.1 Adequate documented security procedures			
5.1.1 Local documented procedures for handling Buyer's assets and escalation procedures for communicating security incidents to buyer.	<ul style="list-style-type: none"> • No local documented procedures for handling Buyer's assets and escalation of security incidents. 	<ul style="list-style-type: none"> • Local documented procedures in place for handling Buyer's assets and escalation of security incidents. • Procedures not always followed. 	<ul style="list-style-type: none"> • Local documented procedures in place for handling Buyer's assets and escalation of security incidents. • Procedures followed.
5.1.2 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.	<ul style="list-style-type: none"> • No written process in place for the timely reporting of lost or missing Buyer's assets. 	<ul style="list-style-type: none"> • Process in place for the timely reporting of lost or missing Buyer's assets. • Process not always followed. 	<ul style="list-style-type: none"> • Process in place for the timely reporting of lost or missing Buyer's assets. • Process consistently followed.
5.1.3 Emergency customer and local management contacts for security incidents listed and available.	<ul style="list-style-type: none"> • Emergency customer and supplier facility management contacts for security incidents not listed or available. 	<ul style="list-style-type: none"> • Emergency customer and supplier facility management contacts for security incidents listed and available. • Listing is outdated. 	<ul style="list-style-type: none"> • Emergency customer and supplier facility management contacts for security incidents listed and available. • Listing is regularly updated.
5.1.4 Supplier Security policy Statement available and communicated to all employees.	<ul style="list-style-type: none"> • Supplier Security Policy Statement not in place; or if in place, not communicated. 	<ul style="list-style-type: none"> • Supplier Security Policy Statement in place. • Communication sporadic and can't be verified. 	<ul style="list-style-type: none"> • Supplier Security Policy Statement in place. • Policy Statement communicated to all employees. • Communication can be verified.

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<p>5.1.5 Security awareness training (including robbery response training) for all dock, warehouse, Security and reception employees.</p>	<ul style="list-style-type: none"> No security awareness training (including robbery response training) provided to dock/warehouse and reception employees. 	<ul style="list-style-type: none"> Security awareness training (including robbery response training) provided to some but not all dock/warehouse and reception employees. 	<ul style="list-style-type: none"> Security awareness training (including robbery response training) provided to all dock/ warehouse and reception employees. Training records in place.
<p>5.1.6 Employee and contractor ID picture badges required to be issued and worn.</p>	<ul style="list-style-type: none"> No employee and contractor company photo badges in place. 	<ul style="list-style-type: none"> Employee and contractor company photo badges in place. Not all personnel clearly display photo badges. 	<ul style="list-style-type: none"> All employees and contractors have company photo badges All employees or contractors badges clearly displayed at time of visit.
<p>5.1.7 Procedures in place to restrict Supplier's employees, visitors and contractors access to buyer's assets.</p>	<ul style="list-style-type: none"> No written procedures in place to restrict employees, visitor and contractor access to Buyer's assets. 	<ul style="list-style-type: none"> Written procedures in place to restrict employees, visitor and contractor access to Buyer's assets. Procedures not always followed. 	<ul style="list-style-type: none"> Written procedures in place to restrict employees, visitor and contractor access to Buyer's assets. Procedure consistently followed.
<p>5.1.8 Badge policy for visitors in place.</p>	<ul style="list-style-type: none"> Badge policy not in place for all visitors. 	<ul style="list-style-type: none"> Badge policy in place for all visitors Logs not maintained for 6 months of transactions. 	<ul style="list-style-type: none"> Badge policy in place for all visitors Transaction logs maintained for 6 months. No more than one day's log located at entrances.
<p>5.1.9 Adequate control of paperwork. Restricting knowledge of transit of buyer's assets to "need to know" only (Information Security).</p>	<ul style="list-style-type: none"> Access to information on Buyer's assets in transit not controlled. 	<ul style="list-style-type: none"> Access to information on Buyer's assets in transit controlled but access not monitored and recorded. 	<ul style="list-style-type: none"> Access to information on Buyer's assets in transit controlled. Access monitored and recorded. Access restrictions documented. Information security awareness training provided to employees having access to information.

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<p>5.1.10 At inbound checkpoint for drivers and crews, identity and authorization are validated.</p>	<ul style="list-style-type: none"> • People not screened for identity and authorization. 	<ul style="list-style-type: none"> • People screened for identity and authorization. 	<ul style="list-style-type: none"> • People at checkpoint screened for identity and authorization prior to entry into the secured facility. • A copy of driver's license (or national identification card) made for files. • Vehicle license plate and description logged. • Verify that the license (or national identification card) is not expired, photo matches the driver, and license appears valid.
<p>5.1.11 Keys controlled in areas where Buyer's assets are transited / stored.</p>	<ul style="list-style-type: none"> • Keys not controlled in areas where Buyer's assets are transited / stored. • Bolt cutters not controlled. 	<ul style="list-style-type: none"> • Keys controlled in areas where Buyer's assets are transited / stored. • Bolt cutters controlled. • Written key plan in place. 	<ul style="list-style-type: none"> • Keys controlled in areas where Buyer's assets are transited / stored. • Bolt cutters controlled. • Written key plan in place. • Forklift and truck key controls in place.
<p>5.1.12 Random trash inspection procedures in place for trash from dock/warehouse.</p>	<ul style="list-style-type: none"> • No trash inspection program in place in dock/warehouse area. 	<ul style="list-style-type: none"> • Trash inspection program in place in dock/warehouse area. • Inspection is random. • Standard can be met by inside warehouse compacting of all trash. 	<ul style="list-style-type: none"> • Full trash inspection program or compacting in place in dock/warehouse area. • Clear trash bags utilized. • Inspection/interior compacting monitored by CCTV.

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<p>5.1.13 Security incident reporting system and method of tracking local security incidents.</p>	<ul style="list-style-type: none"> No security incident reporting and tracking system in place. 	<ul style="list-style-type: none"> Security incident reporting and tracking system in place. Not used to implement proactive measures. 	<ul style="list-style-type: none"> Security incident reporting and tracking system in place. Used to implement proactive measures.
<p>5.1.14 Pre-loading or post-delivery storage of buyer's assets in trailers.</p>	<ul style="list-style-type: none"> Pre-loading/post-delivery storage and staging buyer's assets in trailers allowed. 	<ul style="list-style-type: none"> Pre-loading/post-delivery storage and staging of buyer's assets in trailers for no more than two hours. Yard where trailers are stored is fenced, gated and staffed so that trailers cannot be removed without authorization. 	<ul style="list-style-type: none"> No pre-loading/post-delivery and staging of buyer's assets in trailers allowed. Documented procedure in place to ensure this does not occur.
<p>5.1.15 Personal containers (defined as lunch box, backpacks, coolers, purses, etc.) are controlled in the warehouse.</p>	<ul style="list-style-type: none"> Personal containers allowed in warehouse. 	<ul style="list-style-type: none"> Security procedures define how entry of 'personal containers' is controlled. 	<ul style="list-style-type: none"> Personal containers not allowed in warehouse. Written procedure in place.
<p>5.1.16 Exit searches performed on exit from secure areas used for buyer assets.</p>	<ul style="list-style-type: none"> No exit search program in place. 	<ul style="list-style-type: none"> Documented exit search program in place. Program is random and inconsistent. 	<ul style="list-style-type: none"> Documented exit search program in place. Consistently applied based on risk.
<p>5.1.17 Personal vehicles access to shipping and receiving yard controlled.</p>	<ul style="list-style-type: none"> Personal vehicles allowed access to shipping and receiving yard Personal vehicles not inspected upon exit. 	<ul style="list-style-type: none"> Personal vehicles allowed access to shipping and receiving yard Full inspection of personal vehicles conducted when exiting 	<ul style="list-style-type: none"> Personal vehicles not allowed access to shipping and receiving yard. Documented procedures in place

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5.2 Background Checks (Vetting) within constraints of Local County Laws			
<p>(M) 5.2.1 Criminal history check in place encompassing 5-year criminal history and employment check (vetting within constraints of local county laws).</p>	<ul style="list-style-type: none"> • No verification of past employment. • Criminal history not reviewed for the last 5 years. 	<ul style="list-style-type: none"> • Past employment verified for all employees, temporary employees and contract workers for the last 5 years. • Gaps in employment not researched. • Criminal history reviewed for the last 5 years for all areas where employee has lived, worked or been in school. • No written denial criteria in place. 	<ul style="list-style-type: none"> • Past employment verified for all employees, temporary employees and contract workers for the last 5 years. • Gaps in employment researched. • Criminal history reviewed for the last 5 years for all areas where employee has lived, worked or been in school. • Written denial criteria in place.
5.3 Terminated employees and contractors procedures			
<p>5.3.1 Termination procedures in place for employees and contractors, ensuring return of ID's, access cards, keys and other sensitive information.</p>	<ul style="list-style-type: none"> • No written terminated employee/contractor procedures in place. 	<ul style="list-style-type: none"> • Written terminated employee/contractor procedures in place. • Checklist does not exist for verification for either employee/contractor. 	<ul style="list-style-type: none"> • Written terminated employee/contractor procedures in place. • Employee/contractor checklist in place for verification.
<p>5.3.2 Procedure in place to preventing systems access to Buyer's data by terminated employees.</p>	<ul style="list-style-type: none"> • No written procedure in place to prevent terminated employees from gaining access to information systems containing Buyer data. 	<ul style="list-style-type: none"> • Written procedure in place to prevent terminated employees from gaining access to information systems containing Buyer data. • Access removal may not always be immediate. 	<ul style="list-style-type: none"> • Written procedure in place to prevent terminated employees from gaining access to information systems containing Buyer data. • Access removal always immediate.
<p>5.3.3 Records kept preventing Supplier from re-hiring terminated employee/contractor without considering previous background.</p>	<ul style="list-style-type: none"> • No records maintained to prevent re-hiring of terminated employee/contractor without considering previous background. 	<ul style="list-style-type: none"> • Records maintained to prevent re-hiring of terminated employee/contractors without considering previous background. • System is manual. 	<ul style="list-style-type: none"> • Records maintained to prevent re-hiring of terminated employees/contractors without considering previous background. • System is automated.

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6. Standard Security Requirements			
6.1 Adequate cargo truck security devices installed			
6.1.1 Solid-top, hard-sided, locked cargo doors or reinforced soft-sided trailer.	<ul style="list-style-type: none"> • Non hard-sided trailers without reinforcement used. 	<ul style="list-style-type: none"> • Cargo doors locked but keys not controlled. • Hard-sided or reinforced soft-sided trailers with chain or protective cables used to secure bottom of trailer curtain. 	<ul style="list-style-type: none"> • Cargo doors locked and keys controlled. • Hard-sided or reinforced soft-sided trailers with chain or protective cables used to secure bottom of trailer curtain.
6.1.2 Security tamper-evident seals for trucks carrying Buyer only shipments.	<ul style="list-style-type: none"> • No tamper evident seals used for trucks carrying Buyer only shipments. 	<ul style="list-style-type: none"> • Tamper evident seals used for trucks carrying Buyer only shipments. • Seals not tightly controlled (i.e. no controlled access to seals, no log book, etc.). 	<ul style="list-style-type: none"> • Tamper evident seals used for trucks carrying Buyer only shipments. • Seals tightly controlled (i.e. controlled access to seals, log book, etc.).
6.1.3 Vehicle immobilization devices in place.	<ul style="list-style-type: none"> • No immobilization devices on vehicles. 	<ul style="list-style-type: none"> • Immobilization devices installed on some but not all vehicles. 	<ul style="list-style-type: none"> • Immobilization devices installed on all vehicles.
6.1.4 Two-way voice communication system between vehicle cab, Supplier's base (and escorts, if applicable) and procedures for reporting.	<ul style="list-style-type: none"> • No two-way communication between vehicle cab, Supplier's base (and escorts, if applicable). 	<ul style="list-style-type: none"> • Two-way communication between vehicle cab, Supplier's base (and escorts, if applicable) exists. • No written procedures in place for reporting. 	<ul style="list-style-type: none"> • Two-way communication between vehicle cab, Supplier's base (and escorts, if applicable) exists. • Written procedures in place for reporting.
6.1.5 Written contingency plans in place for reporting unscheduled events (i.e., stops, delays, route deviation).	<ul style="list-style-type: none"> • No written contingency plans in place for reporting unscheduled events. 	<ul style="list-style-type: none"> • Written contingency plans in place for reporting unscheduled events • Plans need to cover additional areas. Minimum required areas to be covered being unplanned stops, weather delays, hijacking, road closures, vehicle accident and disabled vehicle. 	<ul style="list-style-type: none"> • Written contingency plans in place for reporting unscheduled events. • Plans cover all areas in detail. Minimum required areas to be covered being unplanned stops, weather delays, hijacking, road closures, vehicle accident and disabled vehicle.

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<p>6.1.6 Truck cabin and ignition keys secured from unauthorized use at all times.</p>	<ul style="list-style-type: none"> • No vehicle key control in place. • Awareness training not given to drivers on securing truck cabins and ignition keys 	<ul style="list-style-type: none"> • Process for vehicle key control in place. • Awareness training given to drivers on securing truck cabin and ignition keys • Training records not in place 	<ul style="list-style-type: none"> • Process for vehicle key control in place and documented. • Awareness training given to drivers on securing truck cabin and ignition keys • Training records in place
<p>6.2 Scheduled routing</p>			
<p>6.2.1 Routes, schedules and planned stops assessed for risk and reviewed.</p>	<ul style="list-style-type: none"> • No documented scheduled routes in place. 	<ul style="list-style-type: none"> • Documented scheduled routes in place. • Routes have not been reviewed with Buyer. 	<ul style="list-style-type: none"> • Documented scheduled routes in place. • Routes risk-assessed and documented. • Routes reviewed with Buyer.
<p>6.3 Loading/unloading</p>			
<p>6.3.1 Proof of shipping and receiving records (time, date, driver, shipping/receiving personnel, shipment details and quantity).</p>	<ul style="list-style-type: none"> • No shipping/receiving documents in place. 	<ul style="list-style-type: none"> • Shipping/receiving documents in place. • Documents not legible/complete/accurate in all cases. 	<ul style="list-style-type: none"> • Shipping/receiving documents in place. • Documents legible, complete and accurate.
<p>6.3.2 When consignee allows, driver present at loading and unloading.</p>	<ul style="list-style-type: none"> • When allowed drivers not present at all loading/unloading operations. 	<ul style="list-style-type: none"> • When allowed drivers present at all loading/unloading operations. • Piece counts not conducted. 	<ul style="list-style-type: none"> • When allowed drivers present at all loading/unloading operations. • Piece counts conducted.

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7. Pre-Alerts			
7.1 System of pre-alerts in place (supplier to supplier)			
7.1.1 Pre-alert capability in place.	<ul style="list-style-type: none"> • No pre-alert capability in place. 	<ul style="list-style-type: none"> • Pre-alert capability in place but not documented. 	<ul style="list-style-type: none"> • Pre-alert capability in place and documented. • Pre-alerts include at a minimum: departure time, expected arrival time, truck company, driver name, shipment info (pc count, weight, bill-of-lading #, etc.) and trailer seal numbers.
7.1.2 Destination to notify origin within 4 hours of receipt of shipment, reconciling pre-alert shipment details.	<ul style="list-style-type: none"> • Destination does not confirm deliveries within 4 hours. 	<ul style="list-style-type: none"> • Destination confirms deliveries within 4 hours. 	<ul style="list-style-type: none"> • Destination confirms deliveries within 4 hours. • Documented process in place for recording and escalating irregularities through Supplier's Security/Logistics Management.
8. Enhanced Security Requirements			
8.1 Driver Training			
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.	<ul style="list-style-type: none"> • Driver robbery response training not provided. 	<ul style="list-style-type: none"> • Driver robbery response training provided. • Details of training available to Buyer. • Attendance not documented. 	<ul style="list-style-type: none"> • Driver robbery response training provided. • Details of training available to Buyer. • Attendance documented.
8.1.2 Security Awareness training provided to drivers on mitigating risk. Details of training are to be available to buyer.	<ul style="list-style-type: none"> • Awareness training not given to drivers on risk mitigation techniques/equipment. 	<ul style="list-style-type: none"> • Awareness training given to drivers on risk mitigation techniques/equipment. • Training records not in place. • Details of training are to be available to buyer. 	<ul style="list-style-type: none"> • Awareness training given to drivers on risk mitigation techniques/equipment. • Training records in place. • Details of training are to be available to buyer.

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8.2 Truck escorts (armed where local law permits) cost shall be borne by Buyer			
8.2.1 Capability to provide overt and covert escorts with real time communications to base and local police; written documentation in place.	<ul style="list-style-type: none"> • No capability in place to provide overt and covert escorts with real time communications to Supplier base and local police. 	<ul style="list-style-type: none"> • Capability in place to provide overt escorts with real time communications to Supplier base and local police. • No covert escort capability. • Written documentation detailing capabilities provided. 	<ul style="list-style-type: none"> • Capability in place to provide overt and covert escorts with real time communications to Supplier base and local police. • Written documentation detailing capabilities provided.
8.2.2 Documented response procedure and training for escort personnel.	<ul style="list-style-type: none"> • No documented response procedures and training for escort personnel. 	<ul style="list-style-type: none"> • Documented response procedures but not training for escort personnel. • Documented training but not response procedures in place for escort personnel. 	<ul style="list-style-type: none"> • Documented detailed response procedures and training for escort personnel in place.
8.3 Vehicle tracking - subject to availability and negotiated between the Buyer and Supplier			
8.3.1 GPS or similar technology installed on all vehicles transporting Buyer's assets.	<ul style="list-style-type: none"> • GPS or similar technology not installed on vehicles transporting Buyer's product. 	<ul style="list-style-type: none"> • GPS or similar technology installed on some vehicles transporting Buyer's product. 	<ul style="list-style-type: none"> • GPS or similar technology installed on all vehicles transporting Buyer's product.