

BUYER AUDIT FORM

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

Company		Date of Audit	
Location		Phone Number	
Contact Name		Fax Number	
AUDITOR(s)		Email	

Audit Rating Score			
Point Value	Description of Measurement Criteria	Standard	Point Value
0	Not present/utilized - No plans to adopt/implement	Not Acceptable	FAIL: Does not meet Overall Requirements
1	Generally present	Acceptable	PASS: Meets or Exceeds Overall Requirements:
2	Firmly in place and adopted as best practice		<i>1) Must meet all Mandatory Items (M).</i>
X	Requirement does not apply: Waiver required for (M)		<i>2) Must score >=60% in each individual Section 1-5.</i>
			<i>3) Must score >=60% total for all sections combined.</i>

Audit Results	
Facility Classification	B
Total Points	0.0
Possible Points	136
Mandatory Items (M)	Did not meet 1 or more Mandatory Items (M)
Sections 1 - 5	Did not meet 60% in each Section 1-5
Section 1 Score	0.00%
Section 2 Score	0.00%
Section 3 Score	0.00%
Section 4 Score	0.00%
Section 5 Score	0.00%
All Sections Score	0.00%
Overall Standard	FAIL: Does not meet Overall Requirements

Audit Form						
1. Perimeter Security	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
1.1. Perimeter Fencing (including gates)	1.1.1 - Cargo handling and shipping and receiving yard enclosed by perimeter fencing.		B		0	
1.2 CCTV Systems	(M) 1.2.2 - CCTV coverage of all external dock area.		B		0	
1.3 Lighting	1.3.1 -Flood lighting of loading/unloading areas		B		0	
	1.3.2 - Dock doors illuminated externally at night		B		0	
	(M) 1.3.3 - Exterior and interior lighting levels that support high quality CCTV images and recording.		B		0	
1.4 Perimeter alarm detection	(M) 1.4.1 - All facility external doors alarmed and linked to main alarm system.		B		0	
1.5 Perimeter windows, doors & other openings	(M) 1.5.1 - All windows or other openings in warehouse walls and roof secured.		B		0	
	1.5.4 - Reinforced exit doors from warehouse (steel doors and frames or suitable alternative).		B		0	
	1.5.5 - Exterior walls and roof designed and maintained to resist penetration by removing building fabric, cutting or ramming by vehicle.		B		0	
	1.5.6 - External access to roof (ladder or stairs) controlled.		B		0	
Section Total:					0	0.0%
Total Possible:					20	100%
2. Access Control - Office Areas	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
2.1 Office Entrances	(M) 2.1.1 – Visitor entry point(s) controlled.		B		0	
	(M) 2.1.2 - Employee entry point(s) controlled.		B		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.		B		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	3.1.1 - Security controlled access points (e.g., Guard, card access or CCTV with intercom)		B		0	
3.2 Limited Access to dock areas	3.2.1 - Only Supplier's authorized employees and escorted visitors permitted access to dock/warehouse		B		0	
3.3 High Value Storage Area	(M) 3.3.2 - Restricted-access, caged/vault area for assets staged on-site for more than 6 hours: High-grade security mesh, chain-link or hard-wall, including top/roof; CCTV, controlled access.		B		0	

3.4 All External dock and warehouse doors secured	3.4.1 - All external dock and warehouse doors closed and secured when not in active use.		B		0	
3.5 CCTV Coverage	(M) 3.5.1 - Internal dock doors and dock areas covered by CCTV.		B		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's assets e.g. CCTV from dock, to pallet breakdown/buildup area, to high-value cage/vault).		B		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 true 24x7x366 operation).		B		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	(M) 4.1.1 - Manned security monitoring post 24x7x366; monitoring post secure from attack.		B		0	
	4.1.2 - All security system alarms responded to in real-time 24x7x366.		B		0	
4.2 Intruder Alarm System	4.2.1 - Minimum of 60 day records on system alarms.		B		0	
	(M) 4.2.2 Restricted access to alarm system.		B		0	
	(M) 4.2.3 Alarms monitored.		B		0	
4.3 CCTV System	(M) 4.3.1 All CCTV images are recorded (VCR or DVR).		B		0	
	(M) 4.3.2 - Restricted access to CCTV system functions		B		0	
	(M) 4.3.3 Minimum 30-day retention of all CCTV recordings; recordings are held in secure storage area.		B		0	
4.4 Electronic Access control System	4.4.1 - Minimum 60-day records on system transactions.		B		0	
	4.4.2 - Restricted access to system functions.		B		0	
	4.4.3 - Quarterly review of card access reports.		B		0	

Section Total: 0 0.0%
 Total Possible: 22 100%

5. Security Procedures	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
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5.1 Documented Security Procedures	5.1.1 - Local documented procedures for handling Buyer's assets and escalation procedures for <u>communicating security incidents to Buyer.</u>	B	0
	5.1.2 - Process for timely reporting of lost, missing or stolen Buyer's assets. Incidents to be reported by the Supplier to the Buyer within 12 hours; Obvious thefts <u>reported immediately.</u>	B	0
	5.1.3 - Emergency customer and local management contacts for security incidents listed and available	B	0
	5.1.4 - Supplier Security policy Statement available and <u>communicated to all employees</u>	B	0
	5.1.5 – Security Awareness Training provided to employees (to include robbery response and <u>challenging un-identified persons</u>).	B	0
	5.1.6 - All employees and contractors issued and display <u>company photo-ID badge.</u>	B	0
	5.1.7 - Procedures in place to restrict Supplier's employees, visitors and contractors access to Buyer's <u>assets</u>	B	0
	5.1.8 - Visitor policy in place.	B	0
	(M) 5.1.9 - Control of shipping documents/information so that details of Buyer's assets are restricted to those with a <u>"need to know."</u>	B	0
	(M) 5.1.10 - All drivers identified using government-issued photo-ID (e.g.; drivers' license; passport or <u>national ID card, etc.</u>)	B	0
	5.1.11 - Keys controlled in areas where Buyer's assets are <u>transited / stored.</u>	B	0
	5.1.12 - Random trash inspection procedures in place for <u>trash removal from dock/warehouse.</u>	B	0
	5.1.13 - Security incident reporting system and method of <u>tracking local security incidents.</u>	B	0
	5.1.14 - Pre-loading or post-delivery storage of Buyer's assets in <u>trailers/containers.</u>	B	0
	5.1.15- Personal containers (defined as lunch box, backpacks, coolers, purses, etc.) controlled in the <u>warehouse.</u>	B	0
	5.1.16- Searches or inspections performed on exit from secure areas used for Buyer's assets.	B	0
	5.1.17 - Personal vehicles access to shipping and <u>receiving yard/area controlled.</u>	B	0
	5.1.18 - Box and pallet integrity verified upon receipt.	B	0
	5.1.19 - Control of cargo-handling equipment.	B	0
	5.1.20 - Integrity of container or trailer structure verified by physical inspection.	B	0

	(M) 5.1.21 - Documented maintenance programs in place for all technical (physical) security installations/systems (CCTV, Access controls, Intruder detection, Lighting).		B		0	
	5.1.22 - Un-interrupted Power Supply (UPS) in place to ensure all electronic systems are able to function, even during power loss scenario.		B		0	
5.2 Background Checks (Vetting)	(M) 5.2.1 - Criminal history check in place encompassing 5yr criminal history, employment check (vetting within constraints of local country laws)		B		0	
5.3 Terminated Employees & Contractors procedure	5.3.1 - Termination procedures in place for employees and contractors, ensuring return of IDs, access cards, keys and other sensitive information		B		0	
	5.3.2 - Procedure in place to prevent systems access to Buyer's data by terminated employees		B		0	
	5.3.3 - Records maintained to consider background of previously terminated personnel before re-hiring.		B		0	
Section Total:					0	0.0%
Total Possible:					52	100%
6. Standard Security Requirements	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
6.1 Cargo Truck Security	6.1.1 - Solid-top, hard-sided or reinforced soft-sided trailers with lockable cargo doors.		B		0	
	6.1.2 - Tamper-evident security seals for trucks carrying Buyer-only shipments.		B		0	
	6.1.3 - Vehicle immobilization device utilized.		B		0	
	6.1.4 - Two way communication present during entire journey and monitored by Supplier and/or contractor.		B		0	
	6.1.5 Written contingency plans in place for reporting unscheduled events (i.e. stops, delays, route deviation)		B		0	
	6.1.6 – Truck cab and ignition keys secured from unauthorized use at all times.		B		0	
6.2 Route Risk Assessment	6.2.1 - Risk assessments performed on Buyer-designated routes.		B		0	
6.3 Loading/ Unloading	6.3.1 - Proof of shipping and receiving records (Proof of Delivery, Bill of Lading, Waybill, etc.).		B		0	
	6.3.2 - Policy in place requiring driver to be present for loading and unloading when allowed.		B		0	
Section Total:					0	0.0%
Total Possible:					18	100%
7. Pre-Alerts	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
7.1 System of Pre-Alerts	7.1.1 - Pre-alert capability in place.		B		0	
Section Total:					0	0.0%
Total Possible:					2	100%

8. Enhanced Security Requirements	Preventative Measures	Score	Warehouse Classification	"X" if not Scored	Total Score	COMMENTS
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.		B		0	
Section Total:					0	0.0%
Total Possible:					2	100%