

2009 TAPA FSR Scoring Matrix
FOR USE WITH TAPA BUYER AUDIT FORM 2009

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			
1.1. Perimeter Fencing (including gates)			
1.1.1 Cargo handling and shipping and receiving yard enclosed by perimeter fencing.	<ul style="list-style-type: none"> No perimeter fencing or gates. 	<ul style="list-style-type: none"> Fencing encloses cargo handling and shipping and receiving yard. Fencing height is 6 feet / 1.8 meters or higher. Fencing regularly inspected for integrity and damage. Fencing maintained in good condition. Gate(s) manually-operated and controlled. Multi-tenant/Multi-story warehouses docks are fenced and access controlled. 	<ul style="list-style-type: none"> Fencing encloses entire facility including cargo handling and shipping and receiving yard. Fencing height is 8 feet / 2.4 meters or higher <OR> 6 feet / 1.8 meters and installed with an electronic (climb-over/tamper) warning system. Fencing regularly inspected for integrity and damage. Fencing maintained in good condition. Gate(s) manned or electronically controlled. Multi-tenant/Multi-story warehouses docks are fenced and access controlled.

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Area of Concern	0	1	2
1.2 CCTV Systems			
(M) for A 1.2.1 CCTV external coverage of shipping and receiving yard, including entry / exit point, to cover movement of vehicles and individuals.	<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 individuals can be viewed. CCTV able to view all inbound and outbound traffic ensuring all vehicles and individuals are identifiable. 	<ul style="list-style-type: none"> Shipping and receiving yard covered by exterior color or “day/night” cameras so that the movement of vehicles and individuals can be viewed. CCTV able to view all inbound and outbound traffic ensuring all vehicles and individuals are identifiable.
(M) for A, B, C 1.2.2 CCTV coverage of all external dock area.	<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, color or “day/night” exterior cameras. Cameras mounted to be able to view most activity around external dock area. Vehicles and individuals visible in most cases. 	<ul style="list-style-type: none"> Dock areas covered via color or “day/night” exterior cameras. Cameras mounted to be able to view all activity around external dock area. All vehicles and individuals clearly identifiable.
(M) for A 1.2.3 CCTV system able to view exterior 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 exterior sides of facility with doors, windows or other openings. Vehicles and individuals visible in most cases. 	<ul style="list-style-type: none"> Color or “day/night” exterior camera system in place covering all exterior sides of the facility. All vehicles and individuals clearly identifiable. All views clear at all times.
1.3 Lighting			

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1.3.1 Flood lighting of loading/unloading areas.	<ul style="list-style-type: none"> • Lighting does not illuminate loading and unloading areas. • Vehicles and individuals cannot be identified. 	<ul style="list-style-type: none"> • Lighting adequate in loading and unloading areas. • Vehicles and individuals visible in most cases 	<ul style="list-style-type: none"> • Lighting provides daylight conditions. • All vehicles and individuals 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. 	<ul style="list-style-type: none"> • All dock doors fully illuminated.
(M) for A, B, C 1.3.3 Exterior and interior lighting levels that support high quality CCTV images and recording.	<ul style="list-style-type: none"> • Exterior and interior lighting levels are such that CCTV images and recordings aren't visible and clear. 	<ul style="list-style-type: none"> • Exterior and interior lighting levels are such that CCTV images and recordings are visible and clear. • Difficult in some areas to positively identify vehicles and individuals. • Interior lights kept on 24x7x366 or activated by alarm or motion detection providing immediate illumination. 	<ul style="list-style-type: none"> • Exterior and interior lighting levels are such that CCTV images and recordings are visible and clear. • All vehicles and individuals are clearly identifiable. • Interior lights kept on 24x7x366 or activated by alarm or motion detection providing immediate illumination.
1.4 Perimeter Alarm Detection			

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<p>(M) for A, B, C 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 all external doors. • Alarm system in place but does not alarm on power failure/loss. 	<ul style="list-style-type: none"> • Alarm system in place monitoring all external doors. • Alarm system in place and alarms on power failure/loss. • Emergency exits alarmed at all times with local audible alarms and linked to security monitoring location. 	<ul style="list-style-type: none"> • Alarm system in place monitoring all external doors. • Alarm system in place and alarms on power failure/loss. • Emergency exits alarmed at all times with local audible alarms and linked to security monitoring location. • System alarms on device and/or line failure. • Back-up communication system in place. <i>The facility alarm system must have two means of communication, i.e., hard-line, cellular, satellite, etc, if one is cut the other picks up the signal and transmits it to the primary monitoring location or alternate monitoring location.</i>
1.5 Perimeter windows, doors & other openings			
<p>(M) for A, B 1.5.1 All windows or other openings in warehouse walls and roof secured.</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 (bars, mesh or any other material that would harden opening to burglary), <p align="center"><OR></p> <ul style="list-style-type: none"> • Alarm system that specifically covers those openings to detect entry. 	<ul style="list-style-type: none"> • Windows or other warehouse openings protected by physical means (bars, mesh or any other material that would harden opening to burglary). • Alarm system that specifically covers those openings to detect entry.

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1.5.2 Ground floor warehouse windows protected by anti-ram posts or other physical barrier.	<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.
1.5.3 Dock doors of sufficient strength to delay forced entry by use of portable hand tools or ramming by vehicle.	<ul style="list-style-type: none"> Dock doors can be easily penetrated. 	<ul style="list-style-type: none"> Dock doors of significant strength to delay entry. 	<ul style="list-style-type: none"> Dock doors and frames of significant strength to delay entry. Dock door design prevents ramming. Dock door design delays or prevents other forced entry.
1.5.4 Reinforced exit doors from warehouse (steel doors and frames or suitable alternative).	<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 (excluding designated Emergency Exit doors). Latch plates/deadbolt used when applicable.
1.5.5 Exterior walls and roof designed and maintained to resist penetration by removing building fabric, cutting or ramming by vehicle.	<ul style="list-style-type: none"> Exterior and interior multi-tenant walls can be easily penetrated. 	<ul style="list-style-type: none"> Exterior and interior multi-tenant walls and roof constructed/designed and maintained to prevent penetration. (Example: brick, block, tilt up concrete slab). <p style="text-align: center;"><OR></p> <ul style="list-style-type: none"> Exterior and interior multi-tenant walls and roof can be easily penetrated but alarms installed to detect penetration 	<ul style="list-style-type: none"> Exterior and interior multi-tenant walls and roof constructed/designed and maintained to prevent penetration. (Example: brick, block, tilt up concrete slab). Alarmed to detect penetration. Documented building maintenance plan in place.

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1.5.6 External access to roof (ladder or stairs) controlled.	<ul style="list-style-type: none"> External access to roof (ladder or stairs) not controlled. 	<ul style="list-style-type: none"> External access to roof (ladder or stairs) secured by physical or electronic means. Keys controlled. 	<ul style="list-style-type: none"> External access to roof (ladder or stairs) secured by physical and electronic means. Keys controlled. Roof access covered by CCTV.
2. Access Control - Office Areas			
2.1 Office Entrances			
(M) for A, B 2.1.1 Visitor entry point(s) controlled.	<ul style="list-style-type: none"> Access at visitor entry point(s) not controlled. 	<ul style="list-style-type: none"> Access at visitor entry point(s) controlled by a designated employee/guard/receptionist that has been trained on badge issuance, controls, logging visitors, escort requirement, etc. Visitor entry point(s) covered by CCTV. 	<ul style="list-style-type: none"> Access at visitor entry point(s) controlled by a designated employee/guard/receptionist that has been trained on badge issuance, controls, logging visitors, escort requirement, etc. Visitor entry point(s) covered by CCTV. Access at visitor entry point(s) securely controlled by electronic card access. Duress (panic) alarm installed.
(M) for A, B 2.1.2 Employee entry point(s) controlled.	<ul style="list-style-type: none"> Employee entry point(s) inadequately controlled, unauthorized parties can gain access to the building/office. 	<ul style="list-style-type: none"> Employee entry point(s) controlled through access control device. Missing CCTV. 	<ul style="list-style-type: none"> Employee entry point(s) controlled and monitored through electronic access control device. Employee entry point(s) covered by CCTV.

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<p>(M) for C 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.
3. Facility Dock/Warehouse			
3.1 Access control between office & dock/ warehouse			
<p>(M) for A 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 or dock. Observed controls being compromised. Door alarms are audible when held or forced open or are tied into a security monitoring location. 	<ul style="list-style-type: none"> Access controlled between office and warehouse or dock. Internal controls prevent compromise. Door alarms are audible when held or forced open and are tied into a security monitoring location.
3.2 Limited access to dock areas			
<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 or warehouse areas. Access not based on business need. Only authorized employees 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. Only authorized employees have access.
3.3 High Value storage areas			

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<p>(M) for A 3.3.1 Restricted-access, caged/vault area for assets staged on-site for more than 2 hours: High-grade security mesh, chain-link or hard-wall, including top/roof; CCTV, controlled 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 caged or hard-walled on all sides, including top/roof. Locking device on door/gate. CCTV coverage on cage or vault entrance. Access logged and access list in place. 	<ul style="list-style-type: none"> High value asset storage in place. Perimeter caged or hard-walled on all sides, including top/roof. Access controlled electronically. Complete CCTV coverage on cage or vault entrance and internal area. Alarmed doors/gates. Access list reviewed on regular basis, processes are documented.
<p>(M) for B 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.</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 caged or hard-walled on all sides, including top/roof. Locking device on door/gate. CCTV coverage on cage or vault entrance. Access logged and access list in place. 	<ul style="list-style-type: none"> High value asset storage in place. Perimeter caged or hard-walled on all sides, including top/roof. Access controlled electronically. Complete CCTV coverage on cage or vault entrance and internal area. Alarmed doors/gates. Access list reviewed on regular basis, processes are documented.
<p>3.4 All external dock and warehouse</p>			

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<p>3.4.1 All external dock and warehouse doors closed and secured when not in active use.</p>	<ul style="list-style-type: none"> External dock and warehouse doors not closed and secured. 	<ul style="list-style-type: none"> External dock and warehouse doors closed and secured with occasional lapses when not in active use. Dock doors closed and secured by slide or bolt latch. <p align="center"><OR></p> <p>Scissor gates (minimum height of 8 feet / 2.4 meters) or equivalent in place and used on dock doors when not in active use.</p>	<ul style="list-style-type: none"> All external dock and warehouse doors always closed and secured when not in active use. Dock doors closed and secured by pad-lock (or similar lock-and-key device). Keys controlled.
3.5 CCTV coverage			
<p>(M) for A, B, C 3.5.1 Internal dock doors and dock areas covered by CCTV.</p>	<ul style="list-style-type: none"> Internal dock doors or dock areas not covered by CCTV. 	<ul style="list-style-type: none"> All internal dock doors and dock areas covered by CCTV. Clear views of each dock door opening at all times. 	<ul style="list-style-type: none"> All internal dock doors and dock areas covered by color CCTV. Clear views of each dock door opening at all times. Clear views of freight being loaded/unloaded.

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<p>(M) for A, B 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/build-up area, to high-value cage/vault).</p>	<ul style="list-style-type: none"> Buyer-designated assets not always under 100% CCTV surveillance. 	<ul style="list-style-type: none"> Buyer-designated assets always under 100% CCTV surveillance. Views not clear at all times. 	<ul style="list-style-type: none"> Buyer-designated assets always under 100% color CCTV surveillance. Views clear at all times.
3.6 Motion detection alarms			
<p>(M) for A, B 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).</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 to detect all intrusions. 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 to detect all intrusions 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			

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(M) for A, B 4.1.1 Manned security monitoring post 24x7x366; monitoring post secure from attack.	<ul style="list-style-type: none"> Security system not monitored 24x7x366. 	<ul style="list-style-type: none"> Security system monitored 24x7x366. Internal (on-site) monitoring post cannot be easily compromised. 	<ul style="list-style-type: none"> Security system monitored 24x7x366. System is monitored by a certified/licensed monitoring location as defined by local laws and standards.
4.1.2 All security system alarms responded to in real-time 24x7x366.	<ul style="list-style-type: none"> Monitoring post responds to alarm-activation in greater than 5 minutes. 	<ul style="list-style-type: none"> Monitoring post responds to alarm-activation in greater than 3 minutes but less than 5 minutes. 	<ul style="list-style-type: none"> Monitoring post responds to alarm-activation in less than 3 minutes.
4.2 Intruder alarm systems			
4.2.1 Minimum of 60 day records on system alarms.	<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 securely stored. 	<ul style="list-style-type: none"> 60 days of security system alarm records maintained. Security system alarm records and securely stored and backed up.
(M) for A, B 4.2.2 Restricted access to alarm system.	<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 individuals depart. 	<ul style="list-style-type: none"> Security system access restricted. Controls changed when individuals depart. Process documented.
(M) for A, B, C 4.2.3 Alarms monitored.	<ul style="list-style-type: none"> Alarms not monitored. 	<ul style="list-style-type: none"> Alarms monitored on-site. Alarm set verification in place. 	<ul style="list-style-type: none"> Alarms monitored by police or off-site (3rd-party) security contractor. Alarm set verification in place. Response procedures documented.
4.3 CCTV systems			

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<p>(M) for A, B 4.3.1 All CCTV images are recorded (VCR or DVR).</p> <p>If VCR (analog):</p> <ul style="list-style-type: none"> • No more than 16 cameras to 1 tape. • No more than 12 hours of images on one tape. • Tapes changed less then twice daily. • Minimum 1.25 frames per second per camera. <p>If DVR (digital):</p> <ul style="list-style-type: none"> • Minimum 3 frames per second per camera. 	<ul style="list-style-type: none"> • Recording not in place. • Recording device not checked to ensure recording functionality. 	<ul style="list-style-type: none"> • Recording in place during operation days. • Time-lapse recording in place during non-operational days. • Tapes changed twice daily during operational days. • (VCR or DVR) recording function checked daily during operational days. 	<ul style="list-style-type: none"> • Recording in place 7 days a week. • DVR system in place. • DVR system records in either a continuous or motion-detection mode at 5 frames per second. • DVR recording function checked daily and process documented.
<p>(M) for A, B 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) for A, B, C 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>4.4 Electronic access control system</p>			

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4.4.1 Minimum 60-day records on system transactions.	<ul style="list-style-type: none"> No system transaction records available. 	<ul style="list-style-type: none"> 60 days of system transaction records available. Records not securely stored. 	<ul style="list-style-type: none"> 60 days of system transaction records available. Records securely stored and backed up.
4.4.2 Restricted access to system functions.	<ul style="list-style-type: none"> Access not restricted to access system functions. 	<ul style="list-style-type: none"> Access restricted to access control system functions. Controls not changed when individuals depart. 	<ul style="list-style-type: none"> Access restricted to access control system functions. Controls changed when individuals depart. Process documented.
4.4.3 Quarterly review of access reports.	<ul style="list-style-type: none"> Quarterly reviews not conducted. 	<ul style="list-style-type: none"> Reviews conducted at least once a quarter. 	<ul style="list-style-type: none"> Reviews conducted at least once a quarter. Procedure and documentation in place to verify.
5. Security Procedures			
5.1 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 consistently followed.

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<p>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 reported immediately.</p>	<ul style="list-style-type: none"> No written process in place 	<ul style="list-style-type: none"> Process in place for timely reporting. Process not always followed. 	<ul style="list-style-type: none"> Process in place for timely reporting Process consistently followed.
<p>5.1.3 Emergency customer and local management contacts for security incidents listed and available.</p>	<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 regularly updated. 	<ul style="list-style-type: none"> Emergency customer and Supplier facility management contacts for security incidents listed and available. Listing regularly updated and includes law enforcement contacts.
<p>5.1.4 Supplier Security policy Statement available and communicated to all employees.</p>	<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.
<p>5.1.5 Security Awareness Training provided to employees (to include robbery response and challenging un-identified persons).</p>	<ul style="list-style-type: none"> No Security Awareness Training. 	<ul style="list-style-type: none"> Security Awareness Training not provided to all employees. Training records in place. 	<ul style="list-style-type: none"> Security Awareness Training provided to all employees. Training records in place.

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<p>5.1.6 All employees and contractors issued and display company photo-ID badge.</p> <p><i>Company employees: all must have a photo company badge, issued after the person is vetted.</i></p> <p><i>Contractors: anyone not paid directly by the company but performs their work for a 3rd party based on a contract. Must be issued designated contractor photo ID badge.</i></p>	<ul style="list-style-type: none"> No employee and contractor company photo-ID badges in place. 	<ul style="list-style-type: none"> All employees and contractors issued with company photo-ID badges. Not all employees and contractors clearly display photo-ID badges. 	<ul style="list-style-type: none"> All employees and contractors issued with company photo-ID badges. All employees and contractors badges clearly displayed.
<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.

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<p>5.1.8 Visitor policy in place.</p>	<ul style="list-style-type: none"> • All visitors not identified, registered, issued badges/passes and escorted. 	<ul style="list-style-type: none"> • All visitors identified using photo-ID. • All visitors registered and log maintained for minimum of 30 days. • All visitors issued temporary badges or passes. • All visitors visibly display temporary badges or passes. • All visitors escorted by company personnel. 	<ul style="list-style-type: none"> • All visitors identified using government-issued photo-ID (e.g.; drivers' license; passport or national ID card, etc.). • All visitors registered and log maintained for minimum of 30 days. • All visitors issued temporary badges or passes. • All visitors visibly display temporary badges or passes. • All visitors escorted by company personnel. • All visitor badges reconciled against log daily. • No more than one day's log located at entrances.

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<p>5.1.9 (M) for A, B Control of shipping documents/information so that details of Buyer’s assets are restricted to those with a “need to know.”</p>	<ul style="list-style-type: none"> • Access to shipping documents and information on Buyer’s assets not controlled. • No document destruction policy or procedure. 	<ul style="list-style-type: none"> • Access to shipping documents and information on Buyer’s assets controlled. • Access to documents/information not monitored and recorded. • Documents not safeguarded until destruction. 	<ul style="list-style-type: none"> • Access to shipping documents and information on Buyer’s assets controlled. • Access monitored and recorded. • Access restrictions documented • Documents safeguarded until destruction. • Information security awareness training provided to employees having access to information.
<p>(M) for A, B 5.1.10 All drivers identified using government-issued photo-ID (e.g.; drivers' license; passport or national ID card, etc.).</p>	<ul style="list-style-type: none"> • Not all drivers identified using government-issued photo-ID. 	<ul style="list-style-type: none"> • All drivers identified using government-issued photo-ID. • Driver-log maintained. 	<ul style="list-style-type: none"> • All drivers identified using government-issued photo-ID prior to entry into the secured facility. • Driver-log maintained. • A copy of government-issued photo-ID made for files. • Vehicle license plate and description logged. • Verification that photo-ID is not expired, matches the driver, and license appears valid.

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5.1.11 Keys controlled in areas where Buyer's assets are transiting or stored.	<ul style="list-style-type: none"> • Keys not controlled in areas where Buyer's assets are transiting or stored. • Bolt cutters not controlled. 	<ul style="list-style-type: none"> • Keys controlled in areas where Buyer's assets are transiting or stored. • Bolt cutters controlled (if present). • Written key plan in place. 	<ul style="list-style-type: none"> • Keys controlled in areas where Buyer's assets are transiting or stored. • Bolt cutters controlled.(if present) • Written key plan in place. • Forklift and truck key controls in place.
5.1.12 Random trash inspection procedures in place for trash from dock/warehouse.	<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.
5.1.13 Security incident reporting system and method of tracking local security incidents.	<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.
5.1.14 Pre-loading or post-delivery storage of Buyer's assets in trailers/containers.	<ul style="list-style-type: none"> • Pre-loading/post-delivery storage and staging Buyer's assets in trailers/containers allowed. 	<ul style="list-style-type: none"> • Pre-loading/post-delivery storage and staging of Buyer's assets in trailers/containers for no more than two hours. • Trailers/containers are locked, sealed and stored in a fenced, gated and staffed yard so that they cannot be removed without authorization. 	<ul style="list-style-type: none"> • No pre-loading/post-delivery and staging of Buyer's assets in trailers/containers allowed. • Documented procedure in place to ensure this does not occur.

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Area of Concern	0	1	2
5.1.15 Personal containers (defined as lunch box, backpacks, coolers, purses, etc.) controlled in the warehouse.	<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.
5.1.16 Searches or inspections performed on exit from secure areas used for Buyer's assets.	<ul style="list-style-type: none"> No exit search or inspection program in place. 	<ul style="list-style-type: none"> Documented exit search or inspection program in place. Program is random and inconsistent. 	<ul style="list-style-type: none"> Documented exit search or inspection program in place. Consistently applied based on risk.
5.1.17 Personal vehicles access to shipping and receiving yard/area controlled.	<ul style="list-style-type: none"> Personal vehicles allowed access to shipping and receiving yard/area with no documented controls or inspection. 	<ul style="list-style-type: none"> Personal vehicles allowed access to shipping and receiving yard/area. Full inspection of personal vehicles conducted when exiting, or documented controls limit access to dock. 	<ul style="list-style-type: none"> Personal vehicles not allowed access to shipping and receiving yard/area. Documented procedures in place.
5.1.18 Box and pallet integrity verified upon receipt.	<ul style="list-style-type: none"> Box and pallet integrity not verified upon receipt. 	<ul style="list-style-type: none"> Box and pallet integrity verified upon receipt. 	<ul style="list-style-type: none"> Box and pallet integrity verified upon receipt . Weight verifications performed. Documented procedure in place.
5.1.19 Control of cargo-handling equipment,	<ul style="list-style-type: none"> No controls in place. 	<ul style="list-style-type: none"> Not all forklifts, hand-jacks, pallet-loaders or other cargo-handling equipment disabled, locked or secured during non-operational hours. Written procedures in place. 	<ul style="list-style-type: none"> All forklifts, hand-jacks, pallet-loaders or other cargo-handling equipment disabled, locked or secured during non-operational hours. Written procedures in place. Keys controlled and secured.

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Area of Concern	0	1	2
<p>5.1.20 Integrity of container or trailer structure verified by physical inspection.</p>	<ul style="list-style-type: none"> Integrity of container or trailer structure not verified. 	<ul style="list-style-type: none"> Integrity of container or trailer structure verified by physical inspection. Written procedures in place. 	<ul style="list-style-type: none"> Integrity of container or trailer structure verified by physical inspection Seven-point inspection process performed for all dedicated containers or trailers: Front wall, Left side, Right side, Floor, Ceiling/Roof, Inside/outside doors and locking mechanism, Outside/Undercarriage. Written procedures in place.
<p>(M) for A, B, C 5.1.21 Documented maintenance programs in place for all technical (physical) security installations/systems (CCTV, Access controls, Intruder detection, Lighting).</p>	<ul style="list-style-type: none"> No documented maintenance programs in place. 	<ul style="list-style-type: none"> Documented maintenance programs in place for all technical (physical) security installations/systems. Maintenance programs include cleaning, functionality test and quality test for all systems. Systems in good working order. Written procedures in place to routinely test and service systems but not fully followed. Response-time to repair is longer than 24 hrs. Preventive maintenance conducted once a year. 	<ul style="list-style-type: none"> Documented maintenance programs in place for all technical (physical) security installations/systems. Maintenance programs include cleaning, functionality test and quality test for all systems. Systems in good working order. Written procedures in place and followed for physical/visual checks of all devices once per week. Response-time to repair is less than 24 hrs. Preventive maintenance conducted twice a year. Service guaranteed 24/7 days per week.

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Area of Concern	0	1	2
<p>5.1.22 Un-interrupted Power Supply (UPS) in place to ensure all electronic systems are able to function, even during power-loss scenario.</p>	<ul style="list-style-type: none"> • No UPS in place. 	<ul style="list-style-type: none"> • UPS in place with maximum cover time (to keep all equipment powered) of 2 hours. • UPS not dedicated for security systems only. • UPS based on battery back-up. • Alarm generated and recorded when UPS is activated. • No documented procedures in place to manage power-loss scenario. 	<ul style="list-style-type: none"> • UPS in place with cover time (to keep all equipment powered) that exceeds 2 hours. • UPS dedicated for security systems only. • UPS based on battery back-up. <p style="text-align: center;"><OR></p> <p>UPS based on power generator connected to a "no-break" installation. <i>(when power generator is in place then there is no need to make this dedicated to security systems only).</i></p> <ul style="list-style-type: none"> • Alarm generated and recorded when UPS is activated. • Documented procedures in place to manage power-loss scenario.
5.2 Background Checks (Vetting)			

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Area of Concern	0	1	2
<p>(M) for A, B, C 5.2.1 Criminal history check in place encompassing 5-year criminal history and employment check (vetting within constraints of local country 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 IDs, access cards, keys and other sensitive information.</p>	<ul style="list-style-type: none"> • No written terminated employee and contractor procedures in place. 	<ul style="list-style-type: none"> • Written terminated employee and contractor procedures in place. • Checklist does not exist for verification for either employee or contractor. 	<ul style="list-style-type: none"> • Written terminated employee and contractor procedures in place. • Employee and contractor checklist in place for verification.
<p>5.3.2 Procedure in place to prevent 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's data. 	<ul style="list-style-type: none"> • Written procedure in place to prevent terminated employees from gaining access to information systems containing Buyer's data. • Alarm codes and passwords deactivated upon termination. • Access removal not always completed with 24 hours. 	<ul style="list-style-type: none"> • Written procedure in place to prevent terminated employees from gaining access to information systems containing Buyer's data. • Alarm codes and passwords deactivated upon termination. • Access removal always completed immediately.

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Area of Concern	0	1	2
5.3.3 Records maintained to consider background of previously terminated personnel before re-hiring	<ul style="list-style-type: none"> No records maintained 	<ul style="list-style-type: none"> Records maintained. System is manual. 	<ul style="list-style-type: none"> Records maintained. System is automated with a central database.
6. Standard Security Requirements			
6.1 Cargo truck security			
6.1.1 Solid-top, hard-sided or reinforced soft-sided trailers with lockable cargo doors.	<ul style="list-style-type: none"> Non hard-sided trailers without reinforcement used. 	<ul style="list-style-type: none"> Hard-sided or reinforced soft-sided trailers with chain or protective cables used to secure bottom of trailer curtain. Cargo doors locked but keys not controlled. 	<ul style="list-style-type: none"> Hard-sided or reinforced soft-sided trailers with chain or protective cables used to secure bottom of trailer curtain. Cargo doors locked and keys controlled.
6.1.2 Tamper-evident security seals for trucks carrying Buyer-only shipments.	<ul style="list-style-type: none"> No tamper-evident seals used for trucks carrying Buyer-only shipments. Seals not checked at each point of transfer or when trailer is left unattended. 	<ul style="list-style-type: none"> Tamper-evident seals used for trucks carrying Buyer-only shipments. Access to and issuance of seals controlled. Seals checked/verified at each point of transfer or when trailer is left unattended. Seals affixed and removed by authorized personnel other than the driver. 	<ul style="list-style-type: none"> Tamper-evident seals used for trucks carrying Buyer-only shipments. Access to and issuance of seals controlled. Seals checked/verified at each point of transfer or when trailer is left unattended. Seals affixed and removed by authorized personnel other than the driver. Procedures in place for recognizing and reporting compromised seals Exclusive-use of bolt-type seals.

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Area of Concern	0	1	2
6.1.3 Vehicle immobilization devices utilized.	<ul style="list-style-type: none"> No immobilization devices on vehicles. 	<ul style="list-style-type: none"> Immobilization devices utilized on some but not all vehicles. 	<ul style="list-style-type: none"> Immobilization devices utilized on all vehicles.
6.1.4 Two-way communication present during entire journey and monitored by Supplier and/or contractor.	<ul style="list-style-type: none"> No two-way communication. 	<ul style="list-style-type: none"> Two-way communication present during entire journey and monitored by Supplier and/or contractor. Written procedures in place for reporting. 	<ul style="list-style-type: none"> Two-way communication present during entire journey and monitored by Supplier and/or contractor. Written procedures in place for reporting. More than one form of communication. Escalation plan in place to report incidents.
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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Area of Concern	0	1	2
6.1.6 Truck cab and ignition keys secured from unauthorized use at all times.	<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 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. • Driver maintains possession of all vehicle keys at all times.
6.2 Route Risk Assessment			
6.2.1 Risk assessments performed on Buyer-designated routes.	<ul style="list-style-type: none"> • No route risk assessments performed. 	<ul style="list-style-type: none"> • Buyer-designated routes, schedules and planned-stops assessed for risk. • Routes not reviewed with Buyer. 	<ul style="list-style-type: none"> • Buyer-designated routes, schedules and planned-stops assessed for risk. • Routes reviewed and documented with Buyer.
6.3 Loading/unloading			
6.3.1 Proof of shipping and receiving records (Proof of Delivery, Bill of Lading, Waybill, etc.).	<ul style="list-style-type: none"> • No shipping and receiving documents in place. 	<ul style="list-style-type: none"> • Shipping and receiving documents in place. • All cargo verified against shipping documents and manifest to ensure proper marking, weights, counts, etc • Documents not legible, complete or accurate in all cases (i.e. time, date, signatures, driver, shipping and receiving personnel, shipment details and quantity, etc.). 	<ul style="list-style-type: none"> • Shipping and receiving documents in place. • All cargo verified against shipping documents and manifest to ensure proper marking, weights, counts, etc. • Documents legible, complete and accurate (i.e. time, date, signatures, driver, shipping and receiving personnel, shipment details and quantity, etc.).

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Area of Concern	0	1	2
6.3.2 Policy in place requiring driver to be present for loading and unloading when allowed.	<ul style="list-style-type: none"> No policy in place 	<ul style="list-style-type: none"> Policy documented and followed. Piece count not conducted. 	<ul style="list-style-type: none"> Policy documented and followed. Piece count conducted by driver.
7. Pre-Alerts			
7.1 System of pre-alerts			
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, trucking 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			

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Area of Concern	0	1	2
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 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.
8.2 Truck escorts			
8.2.1 Capability to provide truck 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. Written documentation detailing capabilities provided. Real time communication between escort and truck driver. No covert escort capability. 	<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. Real time communication between escort and truck driver. Escort vehicle installed with track and trace system (GPS or similar).

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Area of Concern	0	1	2
8.2.2 Documented response procedures 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 no training for escort personnel. Documented training but no 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			
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. GPS signal received by 3rd-party monitoring room.