

## Scoring Matrix

### FOR USE WITH TAPA BUYER AUDIT FORM 2002

Audit Rating Score

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

**(M) = Denotes mandatory guidelines**

Area of Concern	0	1	2
<b>1. Perimeter Security</b>			
<b>1.2 CCTV Systems</b>			
<b>(M)</b> 1.2.1 - CCTV external coverage of shipping and receiving yard to cover movement of vehicles and people.	<ul style="list-style-type: none"> <li>No exterior camera coverage of shipping and receiving yard.</li> </ul>	<ul style="list-style-type: none"> <li>Shipping and receiving yard covered by exterior cameras so that the movement of vehicles and people can be viewed.</li> <li>Manually capture.</li> </ul>	<ul style="list-style-type: none"> <li>Shipping and receiving areas covered with exterior color cameras so that the movement of vehicles and people can be viewed.</li> <li>View via CCTV.</li> </ul>
<b>(M)</b> 1.2.2 - 100% CCTV external coverage of all dock doors.	<ul style="list-style-type: none"> <li>No exterior camera coverage of dock doors.</li> </ul>	<ul style="list-style-type: none"> <li>Dock doors covered via exterior cameras.</li> </ul>	<ul style="list-style-type: none"> <li>Dock doors covered via color cameras, all views clear at all times.</li> </ul>
<b>(M)</b> 1.2.3 - CCTV system able to view all sides of the facility.	<ul style="list-style-type: none"> <li>No exterior camera system.</li> <li>Exterior camera system can't cover all sides of the facility.</li> </ul>	<ul style="list-style-type: none"> <li>Exterior camera system in place, covering all sides of facility.</li> <li>Not required if no openings on sides of building.</li> </ul>	<ul style="list-style-type: none"> <li>Color exterior camera system in place covering all sides of the facility, all views clear at all times.</li> <li>Not required if no openings on sides of building.</li> </ul>
<b>1.3 Lighting</b>			
1.3.1 - Flood lighting of enclosed loading/unloading areas.	<ul style="list-style-type: none"> <li>Lighting does not illuminate loading/unloading areas.</li> <li>Vehicles and personnel cannot be identified.</li> </ul>	<ul style="list-style-type: none"> <li>Lighting adequate in loading/unloading areas.</li> <li>Vehicles and personnel visible in most cases.</li> </ul>	<ul style="list-style-type: none"> <li>Lighting provides daylight conditions.</li> <li>All personnel and vehicles clearly identifiable.</li> </ul>

TAPA FSR 2002 Scoring Matrix

Date: 12-18-01

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Area of Concern	0	1	2
1.3.2 - Dock doors illuminated externally at night.	<ul style="list-style-type: none"> <li>Lighting does not illuminate the dock doors.</li> </ul>	<ul style="list-style-type: none"> <li>Most dock doors illuminated but some fixtures not operating.</li> <li>No documented maintenance program in place.</li> </ul>	<ul style="list-style-type: none"> <li>All dock doors fully illuminated.</li> <li>Documented maintenance program in place.</li> </ul>
1.3.3 - External and internal lighting levels that support high quality CCTV images and recording.	<ul style="list-style-type: none"> <li>External and internal lighting levels are such that CCTV images and recordings aren't visible/clear.</li> </ul>	<ul style="list-style-type: none"> <li>External and internal lighting levels are such that CCTV images and recordings are visible/clear.</li> <li>It may be difficult in some areas to positively identify people/vehicles.</li> <li>Interior lights kept on 7x24.</li> </ul>	<ul style="list-style-type: none"> <li>External and internal lighting levels are such that CCTV images and recordings are visible/clear.</li> <li>You can positively identify people/vehicles.</li> <li>Maintenance program in place and documented.</li> <li>Interior lights kept on 7x24.</li> </ul>
1.4 Perimeter Alarm Detection			
(M) 1.4.1 - All facility external doors alarmed and linked to main alarm system.	<ul style="list-style-type: none"> <li>No alarm system in place monitoring perimeter openings.</li> <li>Alarm system is in place but system access controls are inadequate or the system does not alarm on power failure/loss.</li> </ul>	<ul style="list-style-type: none"> <li>Alarm system is in place monitoring perimeter openings.</li> <li>Emergency exits alarmed at all times with audible and tied into security monitoring vendor.</li> <li>System access controls are adequate and the system does alarm on power failure/loss.</li> </ul>	<ul style="list-style-type: none"> <li>Alarm system is in place monitoring all perimeter openings.</li> <li>System access controls are strong and system alarms on power failure/loss.</li> <li>Emergency exits alarmed at all times with audible and tied into security monitoring vendor.</li> <li>Alarm contact wire runs are setup in supervised configuration.</li> <li>Radio frequency/cellular back-up alarm communication in place.</li> </ul>

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Area of Concern	0	1	2
<b>1.5 Perimeter windows, doors &amp; other openings</b>			
1.5.1 - Any windows or other openings in warehouse walls must be secured by steel bars/mesh (or any other material that would harden opening to burglary).	<ul style="list-style-type: none"> <li>Windows or other warehouse openings not protected through physical means or via the alarm system.</li> </ul>	<ul style="list-style-type: none"> <li>Windows or other warehouse openings protected via the alarm system or physical means.</li> </ul>	<ul style="list-style-type: none"> <li>Windows or other warehouse openings protected via physical means and the alarm system.</li> </ul>
1.5.2 - Ground floor warehouse windows protected by anti-ram posts or other physical barrier.	<ul style="list-style-type: none"> <li>Ground floor windows not protected by any physical barrier.</li> </ul>	<ul style="list-style-type: none"> <li>Ground floor warehouse windows protected by physical barrier other than anti-ram posts.</li> </ul>	<ul style="list-style-type: none"> <li>Ground floor warehouse windows protected by anti-ram posts.</li> <li>No warehouse windows in place.</li> </ul>
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, interior hinge pins and sealed hardware.	<ul style="list-style-type: none"> <li>Dock doors can be easily penetrated.</li> </ul>	<ul style="list-style-type: none"> <li>Dock doors of significant strength to deter entry.</li> <li>Hinge pins on outside or lock hardware not sealed/accessible.</li> <li>Hinge pins not spot welded or pinned with tamper proof screws.</li> </ul>	<ul style="list-style-type: none"> <li>Steel dock doors and frames of significant strength to deter entry.</li> <li>Interior hinge pins in place and lock hardware sealed/accessible.</li> <li>Exterior hinge pins spot welded or pinned with tamper proof screws.</li> </ul>
1.5.4 - Reinforced exit doors from warehouse (steel doors and frames or suitable alternative).	<ul style="list-style-type: none"> <li>Warehouse man doors can be easily penetrated.</li> </ul>	<ul style="list-style-type: none"> <li>Warehouse man doors cannot be easily penetrated, hinges on outside and pinned/spot welded.</li> <li>Latch plates used when applicable.</li> </ul>	<ul style="list-style-type: none"> <li>Warehouse man doors and frames constructed of reinforced steel.</li> <li>Hinges on the inside.</li> <li>Latch plates/deadbolt used when applicable.</li> </ul>
1.5.5 - Exterior walls must be designed to resist penetration by removing building fabric, cutting or ramming by vehicle.	<ul style="list-style-type: none"> <li>Exterior and interior multi-tenant walls easily penetrated.</li> <li>Walls not designed to resist penetration.</li> </ul>	<ul style="list-style-type: none"> <li>Exterior and interior multi-tenant walls easily penetrated.</li> <li>Walls alarmed to detect penetration. (Example: metal walls with fasteners accessible from exterior)</li> </ul>	<ul style="list-style-type: none"> <li>Exterior and interior multi-tenant walls constructed/signed to prevent penetration. (Example: brick, block, tilt up concrete slab).</li> <li>Alarmed to detect penetration.</li> </ul>

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Area of Concern	0	1	2
<b>2. Access Control - Office Areas</b>			
<b>2.1 Office Entrances</b>			
<p>2.1.1 - Guard or Receptionist on main office entry points.</p>	<ul style="list-style-type: none"> <li>• Main office entry point(s) not controlled by a Guard or Receptionist.</li> </ul>	<ul style="list-style-type: none"> <li>• Main office entry point(s) securely automated and controlled.</li> </ul>	<ul style="list-style-type: none"> <li>• Main office entry point(s) controlled by a Guard or Receptionist.</li> <li>• Camera coverage in place monitoring activity.</li> <li>• Duress alarm installed.</li> </ul>
<p>2.1.2 - Security controlled access points (i.e. Card access and CCTV)</p>	<ul style="list-style-type: none"> <li>• Access points inadequately controlled, unauthorized parties can gain access to the building.</li> </ul>	<ul style="list-style-type: none"> <li>• Access points controlled through automated access control device.</li> <li>• Missing CCTV.</li> </ul>	<ul style="list-style-type: none"> <li>• Access points securely controlled using CCTV.</li> <li>• Access control device and intercom/phone in place.</li> </ul>
<p>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"> <li>• No access control processes in place to ensure only authorized personnel gain access.</li> </ul>	<ul style="list-style-type: none"> <li>• Access control processes in place outside normal operating hours to ensure only authorized personnel gain access.</li> <li>• No controls in place for normal operating hours.</li> </ul>	<ul style="list-style-type: none"> <li>• Access control processes in place during and outside normal operating hours to ensure only authorized personnel gain access.</li> </ul>
<b>3. Facility Dock/Warehouse</b>			
<b>3.1 Access control between office &amp; dock/ warehouse</b>			
<p>(M) 3.1.1 - Security controlled access points (i.e.: Guard/Receptionist, or card access, or CCTV with intercom).</p>	<ul style="list-style-type: none"> <li>• Access not controlled between office and warehouse/dock.</li> <li>• Door does not alarm when held open.</li> </ul>	<ul style="list-style-type: none"> <li>• Access controlled between office and warehouse/dock using secure means.</li> <li>• Observed controls being compromised.</li> <li>• Door alarms so that it is audible and is tied into a monitoring location.</li> </ul>	<ul style="list-style-type: none"> <li>• Access controlled between office and warehouse/dock using secure means.</li> <li>• Internal controls prevent compromise.</li> <li>• Door alarms so that it is audible and is tied into a monitoring location.</li> </ul>

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Area of Concern	0	1	2
<b>3.2 Limited access to dock areas</b>			
3.2.1 - Only Suppliers authorized employees and escorted visitors permitted access to dock/warehouse.	<ul style="list-style-type: none"> <li>No restrictions on whom can access dock/warehouse areas.</li> </ul>	<ul style="list-style-type: none"> <li>Some restrictions on whom can access dock/warehouse areas.</li> <li>Access not based on business need.</li> <li>All company employees do not have access.</li> </ul>	<ul style="list-style-type: none"> <li>Access to dock/warehouse areas based on a business need and restricted.</li> <li>Access list in place and updated on a regular basis or upon need.</li> <li>All company employees do not have access.</li> </ul>
<b>3.3 High Value storage areas</b>			
(M) 3.3.1 - Restricted access vault area for assets on site more than 2 hours (High-grade security mesh or wall, alarmed, CCTV, Card Access).	<ul style="list-style-type: none"> <li>High value asset storage area not in place or inadequate.</li> </ul>	<ul style="list-style-type: none"> <li>High value asset storage in place.</li> <li>Perimeter fenced</li> <li>Locking device on door/gate,</li> <li>CCTV coverage on cage,</li> <li>Access logged and access list in place.</li> </ul>	<ul style="list-style-type: none"> <li>High value asset storage in place.</li> <li>Fenced or hard wall perimeter.</li> <li>Access controlled electronically.</li> <li>Complete CCTV coverage of storage location.</li> <li>Alarmed doors/gates.</li> <li>Access list reviewed on regular basis</li> </ul>
(M for B Level Facility) 3.3.2 Caged area for assets on site more than six hours (chain link cage with roof or similar: padlocked, CCTV, coverage)	<ul style="list-style-type: none"> <li>High value asset storage area not in place or inadequate.</li> </ul>	<ul style="list-style-type: none"> <li>High value asset storage in place.</li> <li>Perimeter fenced</li> <li>Locking device on door/gate,</li> <li>CCTV coverage on cage,</li> <li>Access logged and access list in place.</li> </ul>	<ul style="list-style-type: none"> <li>High value asset storage in place.</li> <li>Fenced or hard wall perimeter.</li> <li>Access controlled electronically.</li> <li>Complete CCTV coverage of storage location.</li> <li>Alarmed doors/gates.</li> <li>Access list reviewed on regular basis</li> </ul>

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<b>3.4 All external dock/warehouse</b>			
3.4.1 - All external dock/warehouse doors secured unless required to be opened for normal transit operations.	<ul style="list-style-type: none"> <li>Exterior doors not secured when not in use.</li> </ul>	<ul style="list-style-type: none"> <li>Exterior doors secured with occasional lapses when not in use.</li> <li>Scissor gates in place but left open.</li> </ul>	<ul style="list-style-type: none"> <li>All exterior doors secured when not in use.</li> <li>Floor to ceiling gate if left open.</li> <li>Dock doors are padlocked closed when not in use.</li> <li>Scissor gates in place with dock doors covering remaining opening.</li> </ul>
<b>3.5 CCTV coverage</b>			
(M) 3.5.1 - Internal docks covered by CCTV.	<ul style="list-style-type: none"> <li>Some or all internal doors not covered by CCTV.</li> </ul>	<ul style="list-style-type: none"> <li>Internal dock doors covered by CCTV.</li> <li>Views not clear/visible in all cases.</li> </ul>	<ul style="list-style-type: none"> <li>All internal dock doors covered by color CCTV.</li> <li>Clear views of each dock door opening at all times.</li> </ul>
(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"> <li>Buyer designated assets not always under 100% CCTV surveillance at all times.</li> <li>CCTV views unacceptable in HVP, pallet build and dock door areas.</li> </ul>	<ul style="list-style-type: none"> <li>Buyer designated assets always under 100% CCTV surveillance at all times.</li> <li>CCTV views acceptable in HVP, pallet build and dock door areas</li> </ul>	<ul style="list-style-type: none"> <li>Buyer designated assets always under 100% color CCTV surveillance at all times with clear views.</li> <li>CCTV views acceptable in HVP, pallet build and dock door areas.</li> </ul>
<b>3.6 Intruder detection alarms</b>			
(M) 3.6.1 - Motion detection alarms inside warehouse and activated when facility is vacated by employees.	<ul style="list-style-type: none"> <li>Intrusion detection alarms not installed in warehouse.</li> <li>Intrusion detection alarms not activated during non-operational hours.</li> </ul>	<ul style="list-style-type: none"> <li>Intrusion detection alarms installed in warehouse covering the total facility.</li> <li>System activated during non-operational hours.</li> <li>One technology used.</li> </ul>	<ul style="list-style-type: none"> <li>Intrusion detection alarms installed in warehouse covering all of facility with space be zoned based on hours of operation.</li> <li>System activated during non-operational hours.</li> <li>Dual technology used.</li> </ul>

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<b>4. Security Systems</b>			
<b>4.1 Monitoring of security systems</b>			
4.1.1 - Manned security monitoring post 24 x 7. Secure from attack.	<ul style="list-style-type: none"> <li>Security system not monitored 7x24.</li> </ul>	<ul style="list-style-type: none"> <li>Security system monitored 7x24.</li> <li>Monitoring station can easily be compromised.</li> </ul>	<ul style="list-style-type: none"> <li>Security system monitored 7x24.</li> <li>Secure monitoring station used.</li> </ul>
4.1.2 - All security system alarms dealt with in real-time 24 x 7.	<ul style="list-style-type: none"> <li>Security system alarms not responded to or response takes greater than 10 minutes.</li> </ul>	<ul style="list-style-type: none"> <li>Security system alarms responded to in greater than 5 minutes but less than 10 minutes.</li> </ul>	<ul style="list-style-type: none"> <li>Security system alarm responded to in less than 5 minutes.</li> </ul>
<b>4.2 Intruder alarm systems</b>			
4.2.1 - Minimum of 60 day records on system alarms.	<ul style="list-style-type: none"> <li>No records maintained on security system alarms.</li> </ul>	<ul style="list-style-type: none"> <li>60 days of security system alarm records maintained.</li> <li>Security system alarm records not securely stored.</li> </ul>	<ul style="list-style-type: none"> <li>60 days of security system alarm records maintained.</li> <li>Security system alarm records securely stored.</li> </ul>
4.2.2 - Restricted access to alarm system	<ul style="list-style-type: none"> <li>Security system access not adequately restricted.</li> </ul>	<ul style="list-style-type: none"> <li>Security system access restricted.</li> <li>Controls not changed when people depart.</li> </ul>	<ul style="list-style-type: none"> <li>Security system access restricted.</li> <li>Controls changed when people depart.</li> <li>Process documented.</li> </ul>
4.2.3 - Remote monitoring of alarms to Police/Security contractor.	<ul style="list-style-type: none"> <li>Alarms not remotely monitored by Police or Security contractor.</li> </ul>	<ul style="list-style-type: none"> <li>Alarms remotely monitored but not by the Police or a Security contractor.</li> </ul>	<ul style="list-style-type: none"> <li>Alarms remotely monitored by the Police or a Security contractor.</li> <li>Alarm set verification in place.</li> </ul>
<b>4.3 CCTV systems</b>			
4.3.1 - Good working order	<ul style="list-style-type: none"> <li>CCTV system not in good working order.</li> </ul>	<ul style="list-style-type: none"> <li>CCTV system generally in good working order.</li> <li>No periodic preventative maintenance program in place.</li> </ul>	<ul style="list-style-type: none"> <li>CCTV system in good working order.</li> <li>Periodic preventative maintenance program in place.</li> </ul>

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<b>Area of Concern</b>	<b>0</b>	<b>1</b>	<b>2</b>
4.3.2 - All CCTV images are recorded in real time, no more than 16 cameras to 1 tape/disk and if VCR, no more than 12 hours of images on one tape.	<ul style="list-style-type: none"> <li>Real time recording not in place.</li> <li>Tapes not changed twice daily.</li> </ul>	<ul style="list-style-type: none"> <li>Real time recording in place weekdays.</li> <li>Tapes not changed twice daily on the weekends.</li> <li>CCTV images recorded with no more than 16 cameras being recorded to one tape/disk.</li> <li>VCR not connected to alarm system to detect unauthorized stoppage of recording and no other systems in place to ensure equipment is operating.</li> <li>Digital system not in place.</li> <li>1.25 frames per second recorded.</li> </ul>	<ul style="list-style-type: none"> <li>Real time recording in place.</li> <li>Tapes changed twice-daily 7 days a week unless digital system in place.</li> <li>CCTV images recorded with no more than 16 cameras being recorded to one tape/disk.</li> <li>VCR not connected to alarm system to detect unauthorized stoppage of recording and no other systems in place to ensure equipment is operating.</li> <li>Digital system in place.</li> <li>1.25 frames per second recorded.</li> </ul>
4.3.3 - Restricted access to CCTV system functions	<ul style="list-style-type: none"> <li>Access not restricted to CCTV system.</li> </ul>	<ul style="list-style-type: none"> <li>Access tightly controlled to CCTV system</li> <li>Equipment in plain view of others.</li> </ul>	<ul style="list-style-type: none"> <li>Access tightly controlled to CCTV system</li> <li>Equipment not in plain view of others.</li> </ul>
(M) 4.3.4 - Minimum 30-day retention of all CCTV VCR tapes and held in secure storage area.	<ul style="list-style-type: none"> <li>CCTV VCR tapes stored for less than 30 days.</li> </ul>	<ul style="list-style-type: none"> <li>CCTV VCR tapes stored for 30 days.</li> <li>Storage controls inadequate.</li> </ul>	<ul style="list-style-type: none"> <li>CCTV VCR tapes stored for 30 days.</li> <li>Storage controls adequate.</li> </ul>
4.3.5 - Quarterly Preventative maintenance plan in place for CCTV systems (can be contracted or in house).	<ul style="list-style-type: none"> <li>No preventative maintenance program in place for CCTV systems.</li> </ul>	<ul style="list-style-type: none"> <li>Preventative maintenance program in place for CCTV systems.</li> <li>Maintenance conducted less than quarterly.</li> <li>Maintenance program includes cleaning, functionality test and image quality test.</li> </ul>	<ul style="list-style-type: none"> <li>Quarterly preventative maintenance program in place for CCTV systems.</li> <li>Documentation in place for verification.</li> <li>Maintenance program includes cleaning, functionality test and image quality test.</li> </ul>

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<b>4.4 Card access system</b>			
4.4.1 - Minimum 60 day records on system transactions.	<ul style="list-style-type: none"> <li>No card access system transaction records available.</li> </ul>	<ul style="list-style-type: none"> <li>60 days of card access system transaction records available</li> <li>Card access records not securely stored.</li> </ul>	<ul style="list-style-type: none"> <li>60 days of card access system transaction records available.</li> <li>Card access records securely stored.</li> </ul>
4.4.2 - Restricted access to system functions.	<ul style="list-style-type: none"> <li>Access not restricted to card access system functions.</li> </ul>	<ul style="list-style-type: none"> <li>Access restricted to card access control system functions.</li> <li>Controls not changed when people depart.</li> </ul>	<ul style="list-style-type: none"> <li>Access restricted to card access control system functions.</li> <li>Controls changed when people depart.</li> </ul>
4.4.3 - Quarterly review of card access reports.	<ul style="list-style-type: none"> <li>Quarterly reviews of card access reports and access lists not conducted.</li> </ul>	<ul style="list-style-type: none"> <li>Reviews of card access reports and access lists conducted.</li> <li>Reviews conducted less than quarterly.</li> </ul>	<ul style="list-style-type: none"> <li>Quarterly reviews of card access reports and access lists conducted.</li> <li>Documentation in place to verify.</li> </ul>
<b>4.5 Security system maintenance</b>			
4.5.1 - Procedures in place to routinely test and service security systems.	<ul style="list-style-type: none"> <li>No written procedures in place to routinely test and service security systems.</li> </ul>	<ul style="list-style-type: none"> <li>Written procedures in place to routinely test and service security systems.</li> <li>Written procedures not fully followed.</li> </ul>	<ul style="list-style-type: none"> <li>Written procedures in place to routinely test and service security systems.</li> <li>Written procedures fully followed.</li> <li>Physical alarm checks done weekly.</li> </ul>
<b>5. Security Procedures</b>			
<b>5.1 Adequate documented security procedures</b>			
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"> <li>No local documented procedures for handling Buyer's assets and escalation of security incidents.</li> </ul>	<ul style="list-style-type: none"> <li>Local documented procedures in place for handling Buyer's assets and escalation of security incidents.</li> <li>Procedures not always followed.</li> </ul>	<ul style="list-style-type: none"> <li>Local documented procedures in place for handling Buyer's assets and escalation of security incidents.</li> <li>Procedures followed.</li> </ul>

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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"> <li>No written process in place for the timely reporting of lost or missing Buyer's assets.</li> </ul>	<ul style="list-style-type: none"> <li>Process in place for the timely reporting of lost or missing Buyer's assets.</li> <li>Process not always followed.</li> </ul>	<ul style="list-style-type: none"> <li>Process in place for the timely reporting of lost or missing Buyer's assets.</li> <li>Process consistently followed.</li> </ul>
5.1.3 - Emergency customer and local management contacts for security incidents listed and available.	<ul style="list-style-type: none"> <li>Emergency customer and supplier facility management contacts for security incidents not listed or available.</li> </ul>	<ul style="list-style-type: none"> <li>Emergency customer and supplier facility management contacts for security incidents listed and available.</li> <li>Listing is outdated.</li> </ul>	<ul style="list-style-type: none"> <li>Emergency customer and supplier facility management contacts for security incidents listed and available.</li> <li>Listing is regularly updated.</li> </ul>
5.1.4 - Supplier Security policy Statement available and communicated to all employees.	<ul style="list-style-type: none"> <li>No supplier Security Policy Statement in place or if in place not communicated.</li> </ul>	<ul style="list-style-type: none"> <li>Supplier Security Policy Statement in place.</li> <li>Communication sporadic and can't be verified.</li> </ul>	<ul style="list-style-type: none"> <li>Supplier Security Policy Statement in place.</li> <li>Policy Statement communicated to all employees.</li> <li>Communication can be verified.</li> </ul>
5.1.5 - Robbery response safety training for all dock, warehouse, Security and reception employees.	<ul style="list-style-type: none"> <li>No robbery response training provided to dock/warehouse and reception employees.</li> </ul>	<ul style="list-style-type: none"> <li>Robbery response training provided to some but not all dock/warehouse and reception employees.</li> </ul>	<ul style="list-style-type: none"> <li>Robbery response training provided to all dock/warehouse and reception employees.</li> <li>Training records in place.</li> </ul>
5.1.6 - Employee ID picture badges required to be issued and worn.	<ul style="list-style-type: none"> <li>No employee or subcontractor company photo badges in place.</li> </ul>	<ul style="list-style-type: none"> <li>Employee or subcontractor company photo badges in place.</li> <li>Not all personnel have badges.</li> </ul>	<ul style="list-style-type: none"> <li>All employee or subcontractors have company photo badges</li> <li>Badges were being worn at time of visit.</li> </ul>

## Scoring Matrix

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Area of Concern	0	1	2
5.1.7 - Procedures in place to restrict Supplier's employees, visitors and contractors access to buyer's assets.	<ul style="list-style-type: none"> <li>No written procedures in place to restrict employees, visitor and contractor access to Buyer's assets.</li> </ul>	<ul style="list-style-type: none"> <li>Written procedures in place to restrict employees, visitor and contractor access to Buyer's assets.</li> <li>Procedures not always followed.</li> </ul>	<ul style="list-style-type: none"> <li>Written procedures in place to restrict employees, visitor and contractor access to Buyer's assets.</li> <li>Procedure consistently followed.</li> </ul>
5.1.8 - Badge Policy for visitors/contractors in place.	<ul style="list-style-type: none"> <li>Badge policy not in place for all visitors and contractors.</li> </ul>	<ul style="list-style-type: none"> <li>Badge policy in place for all visitors and contractors</li> <li>Logs not maintained for 6 months of transactions.</li> </ul>	<ul style="list-style-type: none"> <li>Badge policy in place for all visitors and contractors.</li> <li>Transaction logs maintained for 6 months.</li> <li>No more than one day's log located at entrances.</li> </ul>
5.1.9 - Adequate control of paperwork. Restricting knowledge of transit of buyer's assets to "need to know" only (Information Security).	<ul style="list-style-type: none"> <li>Access to Buyer assets in transit information not controlled.</li> </ul>	<ul style="list-style-type: none"> <li>Access to Buyer assets in transit information controlled but access not monitored and recorded.</li> </ul>	<ul style="list-style-type: none"> <li>Access to Buyer assets in transit information controlled. Access monitored and recorded.</li> </ul>
5.1.10 - Incoming traffic screened for driver identity/authorization.	<ul style="list-style-type: none"> <li>Incoming traffic not screened for driver identity/authorization.</li> </ul>	<ul style="list-style-type: none"> <li>Incoming traffic screened for driver identity/authorization.</li> <li>Not remotely or prior to entry into the secured facility.</li> </ul>	<ul style="list-style-type: none"> <li>Incoming traffic remotely screened for driver identity/authorization prior to entry into the secured facility.</li> <li>A copy of driver's license made for files. For locations where driver's license does not include photo, obtain copy of official photo identification.</li> <li>Vehicle license plate and description logged.</li> </ul>
5.1.11 - Exit searches performed on exit from secure areas used for buyer assets.	<ul style="list-style-type: none"> <li>No exit search program in place.</li> </ul>	<ul style="list-style-type: none"> <li>Documented exit search program in place.</li> <li>Program is random and inconsistent.</li> </ul>	<ul style="list-style-type: none"> <li>Documented exit search program in place.</li> <li>Consistently applied based on risk.</li> </ul>

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Area of Concern	0	1	2
5.1.12 - Keys controlled in areas where Buyers assets are transited/stored.	<ul style="list-style-type: none"> <li>Keys not controlled in areas where Buyer's assets are transited/stored.</li> <li>Bolt cutters not controlled.</li> </ul>	<ul style="list-style-type: none"> <li>Keys controlled in areas where Buyer's assets are transited/stored.</li> <li>Bolt cutters controlled.</li> <li>Written key plan in place.</li> </ul>	<ul style="list-style-type: none"> <li>Keys controlled in areas where Buyer's assets are transited/stored.</li> <li>Bolt cutters controlled.</li> <li>Written key plan in place.</li> <li>Forklift and truck key controls in place.</li> </ul>
5.1.13 - Random trash inspection procedures in place for trash from dock/warehouse.	<ul style="list-style-type: none"> <li>No trash inspection program in place in dock/warehouse area.</li> </ul>	<ul style="list-style-type: none"> <li>Trash inspection program in place in dock/warehouse area.</li> <li>Inspection is random.</li> <li>Standard can be met by inside warehouse compacting of all trash.</li> </ul>	<ul style="list-style-type: none"> <li>Full trash inspection program or compacting in place in dock/warehouse area.</li> <li>Clear trash bags utilized.</li> <li>Inspection/interior compacting monitored by CCTV.</li> </ul>
5.1.14 - Security incident reporting system and method of tracking local security incidents.	<ul style="list-style-type: none"> <li>No security incident reporting and tracking system in place.</li> </ul>	<ul style="list-style-type: none"> <li>Security incident reporting and tracking system in place.</li> <li>Not used to implement proactive measures.</li> </ul>	<ul style="list-style-type: none"> <li>Security incident reporting and tracking system in place.</li> <li>Used to implement proactive measures.</li> </ul>
5.1.15 - No preloading of buyer assets in trailers.	<ul style="list-style-type: none"> <li>Preloading and staging buyer assets in trailers allowed.</li> </ul>	<ul style="list-style-type: none"> <li>Preloading and staging of buyer assets in trailers for no more than two hours.</li> <li>Yard where trailers are stored is fenced, gated and staffed so that trailers cannot be removed without authorization.</li> </ul>	<ul style="list-style-type: none"> <li>No preloading and staging of buyer assets in trailers allowed.</li> <li>Documented procedure in place to ensure this does not occur.</li> </ul>
5.1.16 - Containers (containers defined as lunch box, backpacks, coolers, purses, etc.) are not allowed in the warehouse. All containers shall be subject to search.	<ul style="list-style-type: none"> <li>Containers (briefcases, coolers, lunch bags, purses, etc.) allowed in warehouse.</li> <li>Containers not searched.</li> </ul>	<ul style="list-style-type: none"> <li>Containers (briefcases, coolers, lunch bags, purses, etc.) allowed in warehouse.</li> <li>Random inspection of containers conducted.</li> </ul>	<ul style="list-style-type: none"> <li>Containers (briefcases, coolers, lunch bags, purses, etc.) may or not be allowed in warehouse.</li> <li>Full inspection conducted.</li> <li>Written procedure in place.</li> <li>Quality of inspections measured.</li> </ul>

Scoring Matrix

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Area of Concern	0	1	2
<p><b>5.2 Background Checks (Vetting) within constraints of Local County Laws</b></p> <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"> <li>No verification of past employment.</li> <li>Criminal history not reviewed for the last 5 years.</li> </ul>	<ul style="list-style-type: none"> <li>Past employment verified for the last 5 years.</li> <li>Gaps in employment not researched.</li> <li>Criminal history reviewed for the last 5 years for all areas where employee has lived, worked or been in school.</li> <li>No written denial criteria in place.</li> </ul>	<ul style="list-style-type: none"> <li>Past employment verified for the last 5 years.</li> <li>Gaps in employment researched.</li> <li>Criminal history reviewed for the last 5 years for all areas where employee has lived, worked or been in school.</li> <li>Written denial criteria in place.</li> </ul>
<p><b>5.3 Terminated employees and contractors procedures</b></p>			
<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"> <li>No written terminated employee/contractor procedures in place.</li> </ul>	<ul style="list-style-type: none"> <li>Written terminated employee/contractor procedures in place.</li> <li>Checklist does not exist for verification for either employee/contractor.</li> </ul>	<ul style="list-style-type: none"> <li>Written terminated employee/contractor procedures in place.</li> <li>Employee/contractor checklist in place for verification.</li> </ul>
<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"> <li>No written procedure in place to prevent terminated employees from gaining access to information systems containing Buyer data.</li> </ul>	<ul style="list-style-type: none"> <li>Written procedure in place to prevent terminated employees from gaining access to information systems containing Buyer data.</li> </ul>	<ul style="list-style-type: none"> <li>Written procedure in place to prevent terminated employees from gaining access to information systems containing Buyer data.</li> <li>Access removal always immediate.</li> </ul>

## Scoring Matrix

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Area of Concern	0	1	2
5.3.3 - Records kept preventing Supplier re-hiring terminated employee/contractor without considering previous background.	<ul style="list-style-type: none"> <li>No records maintained to prevent re-hiring of terminated employee/contractor without considering previous background.</li> </ul>	<ul style="list-style-type: none"> <li>Records maintained to prevent re-hiring of terminated employee/contractors without considering previous background.</li> <li>System is manual.</li> </ul>	<ul style="list-style-type: none"> <li>Records maintained to prevent re-hiring of terminated employees/contractors without considering previous background.</li> <li>System is automated.</li> </ul>
<b>6. Standard Security Requirements</b>			
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"> <li>Non hard-sided trailers without reinforcement used.</li> </ul>	<ul style="list-style-type: none"> <li>Hard-sided or reinforced soft-sided trailers used.</li> <li>Cargo doors locked but keys not controlled.</li> </ul>	<ul style="list-style-type: none"> <li>Hard-sided or reinforced soft-sided trailers used.</li> <li>Cargo doors locked and keys controlled.</li> </ul>
6.1.2 - Security tamper evident seals for trucks carrying Buyer only shipments.	<ul style="list-style-type: none"> <li>No tamper evident seals used for trucks carrying Buyer only shipments.</li> </ul>	<ul style="list-style-type: none"> <li>Tamper evident seals used for trucks carrying Buyer only shipments.</li> <li>Seals not tightly controlled.</li> </ul>	<ul style="list-style-type: none"> <li>Tamper evident seals used for trucks carrying Buyer only shipments.</li> <li>Seals tightly controlled.</li> </ul>
6.1.3 - Vehicle immobilization devices in place.	<ul style="list-style-type: none"> <li>No immobilization devices on vehicles.</li> </ul>	<ul style="list-style-type: none"> <li>Immobilization devices installed on some but not all vehicles.</li> </ul>	<ul style="list-style-type: none"> <li>Immobilization devices installed on all vehicles.</li> </ul>
6.1.4 - Two-way voice communication system between vehicle cab and Suppliers base and procedures for reporting.	<ul style="list-style-type: none"> <li>No two-way communication between vehicle cab and Supplier's base.</li> </ul>	<ul style="list-style-type: none"> <li>Two-way communication between vehicle cab and Supplier's base exists.</li> <li>No written procedures in place for reporting.</li> </ul>	<ul style="list-style-type: none"> <li>Two-way communication between vehicle cab and Supplier's base exists.</li> <li>Written procedures in place for reporting.</li> </ul>
6.1.5 - Written contingency plans in place for reporting unscheduled events (i.e., stops, delays, route deviation).	<ul style="list-style-type: none"> <li>No written contingency plans in place for reporting unscheduled events.</li> </ul>	<ul style="list-style-type: none"> <li>Written contingency plans in place for reporting unscheduled events</li> <li>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.</li> </ul>	<ul style="list-style-type: none"> <li>Written contingency plans in place for reporting unscheduled events.</li> <li>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.</li> </ul>

## Scoring Matrix

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Area of Concern	0	1	2
<b>6.2 Scheduled routing</b>			
6.2.1 - Only use routes, schedules and planned stops negotiated in advance and approved by Buyer.	<ul style="list-style-type: none"> <li>No documented scheduled routes in place.</li> </ul>	<ul style="list-style-type: none"> <li>Documented scheduled routes in place</li> <li>Routes have not been reviewed with Buyer.</li> </ul>	<ul style="list-style-type: none"> <li>Documented scheduled routes in place.</li> <li>Routes reviewed with Buyer.</li> </ul>
<b>6.3 Loading/unloading</b>			
6.3.1 - Proof of shipping and receiving records (time, date, driver, shipping/receiving personnel, shipment details and quantity).	<ul style="list-style-type: none"> <li>No shipping/receiving documents in place.</li> </ul>	<ul style="list-style-type: none"> <li>Shipping/receiving documents in place.</li> <li>Documents not legible/complete/accurate in all cases.</li> </ul>	<ul style="list-style-type: none"> <li>Shipping/receiving documents in place.</li> <li>Documents legible, complete and accurate.</li> </ul>
6.3.2 – When consignee allows, driver present at loading and unloading.	<ul style="list-style-type: none"> <li>When allowed drivers not present at all loading/unloading operations.</li> </ul>	<ul style="list-style-type: none"> <li>When allowed drivers present at all loading/unloading operations.</li> <li>Piece counts not conducted.</li> </ul>	<ul style="list-style-type: none"> <li>When allowed drivers present at all loading/unloading operations.</li> <li>Piece counts conducted.</li> </ul>
<b>7. Pre-Alerts</b>			
<b>7.1 System of pre-alerts in place (supplier to supplier)</b>			
7.1.1 - Origin site to pre-alert destination site for shipments. Pre-Alert to contain as a minimum: departure time, expected arrival time, truck company, driver name, trailer seal numbers.	<ul style="list-style-type: none"> <li>No pre-alerts coming from site of origin.</li> </ul>	<ul style="list-style-type: none"> <li>Pre-alerts coming from site of origin but lacking detail.</li> </ul>	<ul style="list-style-type: none"> <li>Detailed pre-alerts coming from site of origin.</li> </ul>
7.1.2 - Receiving site to confirm arrival to origin within 4 hours, check pre-alert details are correct. Process implemented for recording and escalating irregularities through Suppliers Security Management.	<ul style="list-style-type: none"> <li>Receiving site not confirming deliveries within 4 hours.</li> </ul>	<ul style="list-style-type: none"> <li>Receiving site confirming deliveries within 4 hours.</li> <li>No process for recording and escalating irregularities through Supplier's Security/Logistics Management.</li> </ul>	<ul style="list-style-type: none"> <li>Receiving site confirming deliveries within 4 hours.</li> <li>Process in place for recording and escalating irregularities through Supplier's Security/Logistics Management.</li> </ul>

Scoring Matrix

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Area of Concern	0	1	2
<b>8.Enhanced Security Requirements</b>			
<b>8.1 Driver Training</b>			
8.1.1 - Supplier to provide robbery response training detailing safe and secure actions to be taken during the event a driver is threatened. Details of training are to be available to the Buyer.	<ul style="list-style-type: none"> <li>Driver robbery response training not provided.</li> </ul>	<ul style="list-style-type: none"> <li>Driver robbery response training provided.</li> <li>Details of training available to Buyer.</li> <li>Attendance not documented.</li> </ul>	<ul style="list-style-type: none"> <li>Driver robbery response training provided.</li> <li>Details of training available to Buyer.</li> <li>Attendance documented.</li> </ul>
<b>8.2 Truck escorts (armed where local law permits) cost shall be borne by Buyer</b>			
8.2.1 - Capability to provide overt and covert escorts with real time communications with base and local police; written documentation in place.	<ul style="list-style-type: none"> <li>No capability in place to provide overt and covert escorts with real time communications with Supplier base and local Police.</li> </ul>	<ul style="list-style-type: none"> <li>Capability in place to provide overt escorts with real time communications with Supplier base and local Police.</li> <li>No covert escort capability.</li> <li>Written documentation provided.</li> </ul>	<ul style="list-style-type: none"> <li>Capability in place to provide overt and covert escorts with real time communications with Supplier base and local Police.</li> <li>Written documentation provided.</li> </ul>
8.2.2 - Documented response procedure and training for escort personnel.	<ul style="list-style-type: none"> <li>No documented response procedures and training for escort personnel.</li> </ul>	<ul style="list-style-type: none"> <li>Documented response procedures but not training for escort personnel.</li> <li>Documented training but not response procedures in place for escort personnel.</li> </ul>	<ul style="list-style-type: none"> <li>Documented detailed response procedures and training for escort personnel in place.</li> </ul>
<b>8.3 Vehicle tracking - subject to availability and negotiated between the Buyer and Supplier</b>			
8.3.1 - GPS or similar technology installed on all vehicles transporting Buyer's assets.	<ul style="list-style-type: none"> <li>GPS or similar technology not installed on vehicles transporting Buyer's product.</li> </ul>	<ul style="list-style-type: none"> <li>GPS or similar technology installed on some vehicles transporting Buyer's product.</li> </ul>	<ul style="list-style-type: none"> <li>GPS or similar technology installed on all vehicles transporting Buyer's product.</li> </ul>