

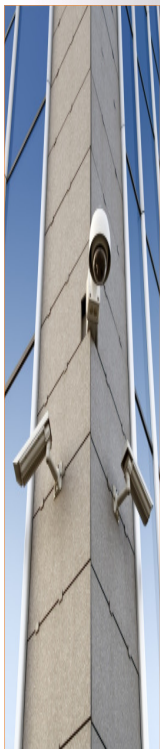
Audit Date:

Audit Type: Initial Audit Follow up Audit

Annual Audit Follow up Audit

ABC Facility

SECURITY ASSESSMENT



One best practice picture of the audited facility



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AUDIT SUMMARY

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SITE PROFILE

Basic Information

Supplier Name		
Facility Address		
City		
State / Province		
Country		
Postal Code		
Supplier's Telephone No.		
Supplier's Fax No.		
Supplier's E-mail Address		
Supplier's Web-site		
C-TPAT Member	YES	NO
Business Partner to C-TPAT member	YES	NO
Month/Year Started Operations		
Other Location 1		
Other Location 2		
Other Location 3		

Supplier Contacts

President		Email:
Plant Manager		Email:
Quality Manager		Email:
Safety Representative		Email:
HR Manager		Email:
Housing Manager		Email:
Security Manager		Email:
Other - Type Title here.		
Other - Type Title here.		

Background Information

Product / Service Category(s)	
Operation Process(es)	
Annual Sales (USD)	
Capacity/Year (Units)	
Main Language of Employees	
Language of Management	
Business Nature	

Plant Size

Total Facility	Square Feet
Production Floors	Square Feet
Warehouse Areas	Square Feet
Distribution Areas	Square Feet
Canteen & Dormitory Areas	Square Feet
Total Number of Buildings	
Total Number of Warehouses	



Total Number of Gates (Facility access points)	
Total Number of Gate Houses	

Use of Subcontractor

Name of Subcontractor	Service Type	Address
(i.e. Logistic service providers)	(i.e. Logistic service providers)	
(i.e. External warehouse for storage)	(i.e. External warehouse for storage)	
Other - Additional Subcontractors		
Other - Additional Subcontractors		

Shipment Methods to USA or other countries

By air	%
By sea	%
By truck	%
By rail	%
Other carrier type	

Total Employees

On the date of the audit

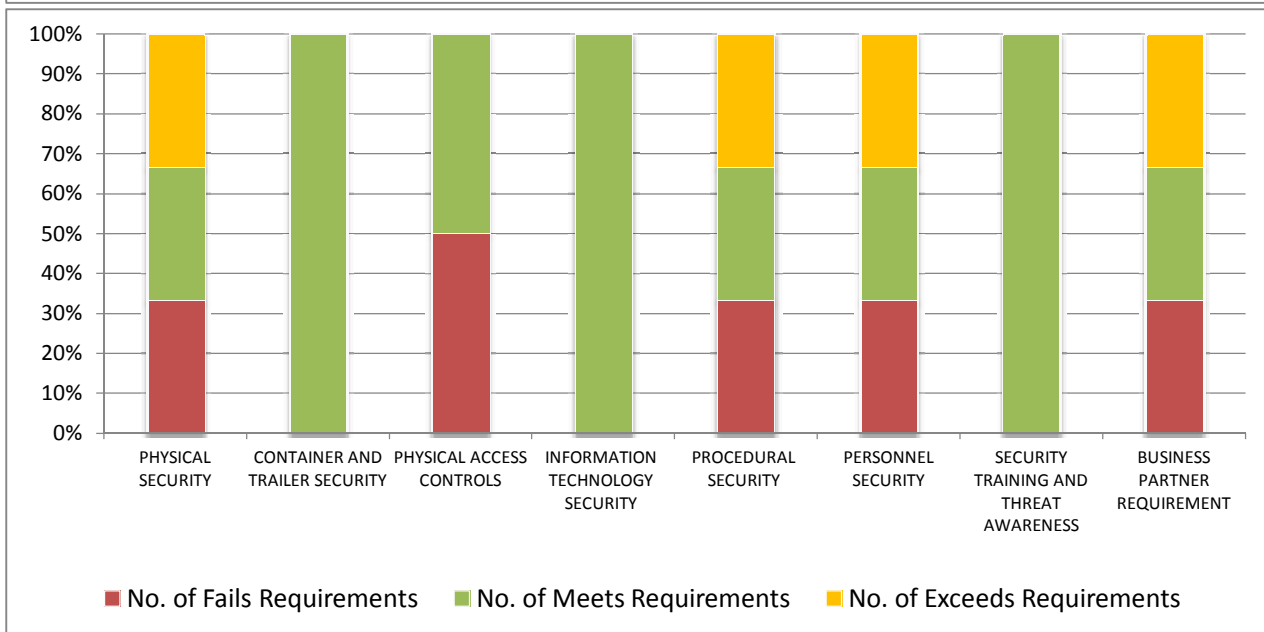
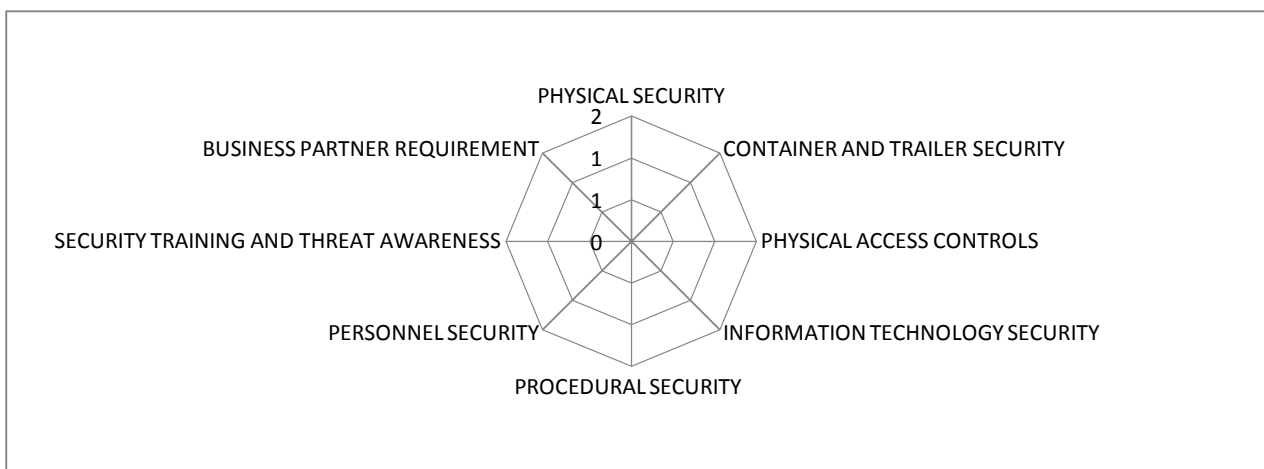
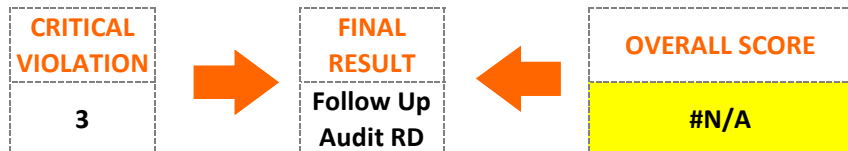
	M	F	
No. of Office Staffs			
No. of Regular Staffs			
No. of Contractual Staffs			
No. of Temporary Staffs			
Others			
Total no. of employees			
No. of Staff Recruited (last 12 months)			
No. of Staff Left (last 12 months)			
Average No. of Staff Total (last 12 months)			
Staff Turnover Rate (last 12 months)	%		

Auditor Name:	
Technical Reviewer Name:	

PERFORMANCE SUMMARY

		No. of Critical Violations	No. of Fails Requirements	No. of Meets Requirements	No. of Exceeds Requirements	Section Score	Section Score (%)
1	PHYSICAL SECURITY	0	1	1	1	#N/A	#N/A

2	CONTAINER AND TRAILER SECURITY	0	0	1	0	#N/A	#N/A
3	PHYSICAL ACCESS CONTROLS	1	1	1	0	#N/A	#N/A
4	INFORMATION TECHNOLOGY	0	0	1	0	#N/A	#N/A
5	PROCEDURAL SECURITY	0	1	1	1	#N/A	#N/A
6	PERSONNEL SECURITY	1	1	1	1	#N/A	#N/A
7	SECURITY TRAINING AND THREAT AWARENESS	0	0	1	0	#N/A	#N/A
8	BUSINESS PARTNER REQUIREMENT	1	1	1	1	#N/A	#N/A



BEST PRACTICE(S) ADOPTED BY AUDIT FACILITY

	Best Practice Observed
PHYSICAL SECURITY	
CONTAINER AND TRAILER SECURITY	
PHYSICAL ACCESS CONTROLS	
INFORMATION TECHNOLOGY	



PROCEDURAL SECURITY	
PERSONNEL SECURITY	
SECURITY TRAINING AND THREAT AWARENESS	
BUSINESS PARTNER REQUIREMENT	

ACTIONS REQUIRED SUMMARY

Actions Required (Findings of MUST Criteria)	Section Number

ACTIONS RECOMMENDED SUMMARY

Actions Recommended (Findings of SHOULD Criteria)	Section Number

SECTION 1.0 PHYSICAL SECURITY

Security Measures	Compliance Level	Compliance Weighting	Auditor Remarks	Comments on N/A & Others
1.1 Does the facility have perimeter fencing or walls on all sides of a height of 6 ft. to prevent intrusion?	Exceeds Requirements	1	The perimeter has fencing on all sides of a height of 8 ft. (2.4 m) and the fence or wall is	
1.2 Does the facility segregate and mark international and domestic cargo in a safe, caged, or otherwise fenced-in area?		1	#N/A	
1.3 Does the facility segregate and mark hazardous or dangerous cargo in a safe, caged, or otherwise fenced-in area? (Note, please state the nature of the cargo)		1	#N/A	
1.4 Does the facility have a documented maintenance program comprised of regularly scheduled inspections to keep security related equipment in good condition and working order? (E.g. building, facade, gate, lights, alarm system and CCTV)	Meets Requirements	2	The facility has a maintenance program that requires regular inspections of security related equipment	
1.5 Does the facility have manned gatehouses at all external main access points?		2	#N/A	
1.6 Is parking at the facility authorized at the gate by a pass and/or decal system?		1	#N/A	
1.7 Is parking for private vehicles (employees, visitors, vendors, contractors, etc.) restricted to designated areas separate from cargo staging areas and loading docks?		1	#N/A	
1.8 Is there a separate loading dock and parking area for trucks and delivery vans?		1	#N/A	
1.9 Is there a secured area for truck and delivery van drivers to wait while cargo is loaded and unloaded?	Fails Requirements	1	There is no secured waiting area for drivers to wait. Drivers are allowed to wait in the loading	
1.10		2	#N/A	
1.11		2	#N/A	
1.12		2	#N/A	
1.13		2	#N/A	
1.14		2	#N/A	
1.15		2	#N/A	
1.16		1	#N/A	
1.17		1	#N/A	
1.18		1	#N/A	
1.19		1	#N/A	
1.20 Do security personnel perform scheduled security patrols?		1	#N/A	
1.21 Does the facility have a designated employee or security officer to supervise the introduction and removal of cargo to include manifest and seal verification?		2	#N/A	

Section 1.0 Summary

Total No. of Critical Violations	0	Total No. of Not Applicable (NA)	0
Total No. of Fails Requirements	1		
Total No. of Meets Requirements	1	Section Score	#N/A
Total No. of Exceeds Requirements	1	Section Score (%)	#N/A

SECTION 2.0 CONTAINER AND TRAILER SECURITY

Security Measures	Compliance Level	Compliance Weighting	Auditor Remarks	Comments on N/A & Others
2.1 Does the company have written procedures to verify the physical integrity of the container structure prior to stuffing, including the reliability of the locking mechanisms?		2	#N/A	
2.2 Does the company have written procedures in place at the point of stuffing to maintain the integrity of the shipping?		2	#N/A	
2.3 Does the company have written procedures in place for reporting and neutralizing unauthorized entry into containers or container storage areas?		2	#N/A	
2.4		2	#N/A	
2.5		2	#N/A	
2.6		2	#N/A	
2.7		2	#N/A	
2.8 Does the company have a secure storage area for empty and full containers to prevent unauthorized access?		2	#N/A	
2.9 Does the facility have written incident reporting procedures to report thefts, tampering and unmanifested items both internally and externally to management and Customs and other law enforcement agencies?	Meets Requirements	2	There are written incident reporting procedures to report thefts, tampering and unmanifested items both internally and externally.	
2.10 Are there procedures in place to track the timely movement of incoming and outgoing goods?		1	#N/A	

Section 2.0 Summary

Total No. of Critical Violations	0	Total No. of Not Applicable (NA)	0
Total No. of Fails Requirements	0		
Total No. of Meets Requirements	1	Section Score	#N/A
Total No. of Exceeds Requirements	0	Section Score (%)	#N/A

SECTION 3.0 PHYSICAL ACCESS CONTROLS

Security Measures	Compliance Level	Compliance Weighting	Auditor Remarks	Comments on N/A & Others
3.1 Does the company have a documented procedure defining access controls?		2	#N/A	



3.2	Are all employees required to present identification upon entering the facility?		2	#N/A	
3.3	Does the facility have written procedures to control the issuance of keys, and are keys recovered and/or locks changed when employees who have them resign or are terminated?		2	#N/A	
3.4	Does the company utilize an effective, employee ID system to control access? Employees should only be given access to those areas that are necessary for the performance of their duties.		1	#N/A	
3.5	Does the company have a documented procedure defining the controls for visitor access to facility?	Meets Requirements	2	Documented procedure in place defining controls for visitor access to facility.	
3.6	Are all visitors required to present a valid photo ID for positive identification before being allowed access to the facility?	Fails Requirements	2	There are no photo identification requirements for visitors to enter the facility.	
3.7	Does the company maintain a log of all visitors entering the facility?		2	#N/A	
3.8			1	#N/A	
3.9			1	#N/A	
3.10			1	#N/A	
3.11			1	#N/A	
3.12			1	#N/A	
3.13	Does the company have written procedures for challenging unauthorized and unidentified persons attempting to gain access to the facility?		2	#N/A	

Section 3.0 Summary

Total No. of Critical Violations	1	Total No. of Not Applicable(NA)	0
Total No. of Fails Requirements	1		
Total No. of Meets Requirements	1	Section Score	#N/A
Total No. of Exceeds Requirements	0	Section Score (%)	#N/A

SECTION 4.0 INFORMATION TECHNOLOGY SECURITY

Security Measures	Compliance Level	Compliance Weighting	Auditor Remarks	Comments on N/A & Others
4.1 Does the company have IT security policies and procedures in place?		2	#N/A	
4.2 Are all automated systems assigned individual accounts that require a periodic change of password?	Meets Requirements	2	All automated systems are assigned individual accounts that require a password change once	
4.3		1	#N/A	
4.4		2	#N/A	
4.5		2	#N/A	

Section 4.0 Summary

Total No. of Critical Violations	0	Total No. of Not Applicable(NA)	0
Total No. of Fails Requirements	0		
Total No. of Meets Requirements	1	Section Score	#N/A
Total No. of Exceeds Requirements	0	Section Score (%)	#N/A

SECTION 5.0 PROCEDURAL SECURITY

Security Measures	Compliance Level	Compliance Weighting	Auditor Remarks	Comments on N/A & Others
5.1 Does the company have documented security procedures in place to ensure the integrity and security of processes relevant to the transportation, handling and storage of cargo in the supply chain?		2	#N/A	
5.2 Does the company have written procedures in place to ensure that manifest information received from business partners is reported accurately and timely?		2	#N/A	
5.3 Are procedures in place to control documents that include proprietary company and shipment information?		2	#N/A	
5.4 Are drivers required to present photo identification prior to cargo being received or released to/from their custody?	Meets Requirements	2	Drivers are required to present photo identification prior to cargo being received or	
5.5 Are finished products properly marked, counted, weighed, documented, and reported on the manifest and bills of lading?	Exceeds Requirements	1	In addition, personnel and policy directive are clear and followed, records are complete and	
5.6 Does the company have procedures and security controls in place to track the movement of all departing cargo?	Fails Requirements	1	No procedures or controls exist.	
5.7		1	#N/A	
5.8		2	#N/A	
5.9		2	#N/A	

Section 5.0 Summary

Total No. of Critical Violations	0	Total No. of Not Applicable(NA)	0
Total No. of Fails Requirements	1		
Total No. of Meets Requirements	1	Section Score	#N/A
Total No. of Exceeds Requirements	1	Section Score (%)	#N/A

SECTION 6.0 PERSONNEL SECURITY

Security Measures	Compliance Level	Compliance Weighting	Auditor Remarks	Comments on N/A & Others
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6.1	Does the company verify the information on employment applications submitted from prospective employees in compliance with federal, state, provincial, and local government regulations and statutes?	FAILS Requirements	2	Applicant information is not verified at any stage prior to employment.
6.2	Does the company interview prospective employees in compliance with federal, state, provincial, and local government regulations and statutes?	Meets Requirements	1	Prospective employees are interviewed consistent with federal, state, provincial, and local government regulations and statutes. All
6.3	Does the company perform background checks of prospective employees in compliance with federal, state, provincial, and local government regulations and statutes?	Exceeds Requirements	1	Background checks are performed by company personnel, as well as an outside certified agency.
6.4			1	#N/A
6.5			1	#N/A
6.6			2	#N/A
6.7			1	#N/A
6.8	Are employees required to sign a Code of Conduct?		1	#N/A

Section 6.0 Summary

Total No. of Critical Violations	1	Total No. of Not Applicable(NA)	0
Total No. of Fails Requirements	1		
Total No. of Meets Requirements	1	Section Score	#N/A
Total No. of Exceeds Requirements	1	Section Score (%)	#N/A

SECTION 7.0 SECURITY TRAINING AND THREAT AWARENESS

Security Measures	Compliance Level	Compliance Weighting	Auditor Remarks	Comments on N/A & Others
7.1 Does the company provide security training to employees which includes maintaining cargo integrity, recognizing internal conspiracies and protecting access controls during new hire orientation?		1	#N/A	
7.2 Does the company provide threat awareness training by company management or security personnel through routine briefings or memoranda?	Meets Requirements	1	Company management or security personnel provide threat awareness programs that include up-to-date information on emerging security	
7.3 Are there written procedures in place instructing employees on recognizing suspicious situations and how to report them?		2	#N/A	
7.4		1	#N/A	
7.5		1	#N/A	
7.6		1	#N/A	

Section 7.0 Summary

Total No. of Critical Violations	0	Total No. of Not Applicable(NA)	0
Total No. of Fails Requirements	0		
Total No. of Meets Requirements	1	Section Score	#N/A
Total No. of Exceeds Requirements	0	Section Score (%)	#N/A

SECTION 8.0 BUSINESS PARTNER REQUIREMENT

Security Measures	Compliance Level	Compliance Weighting	Auditor Remarks	Comments on N/A & Others
8.1 Does the company have a documented risk based process in place for the selection of all business partners?	Meets Requirements	2	The company has a documented risk based process in place for the selection of all business	
8.2 If the addtee is a CTPAT member, is a SVI number requested and periodically verified for those business partners eligible for C-TPAT?	Exceeds Requirements	2	A SVI number is requested and verified once every 30 days.	
8.3 Does the company require service providers to complete a security questionnaire or provide evidence of their security procedures ensuring compliance with C-TPAT minimum security criteria?	FAILS Requirements	2	The company does not require service providers to complete a security questionnaire or provide evidence of their security procedures ensuring compliance with C-TPAT minimum security	
8.4		2	#N/A	
8.5		1	#N/A	
8.6		2	#N/A	
8.7		2	#N/A	
8.8		1	#N/A	
8.9 Does the company participate in a supply chain security program administered by a foreign Customs Administration?		1	#N/A	
8.10 Does the company require that all sub-contracted partners within the supply chain maintain C-TPAT minimum security criteria?		1	#N/A	

Section 8.0 Summary

Total No. of Critical Violations	1	Total No. of Not Applicable(NA)	0
Total No. of Fails Requirements	1		
Total No. of Meets Requirements	1	Section Score	#N/A
Total No. of Exceeds Requirements	1	Section Score (%)	#N/A

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END OF CHECKLIST

SECTION 9.0 PHOTO REPORT

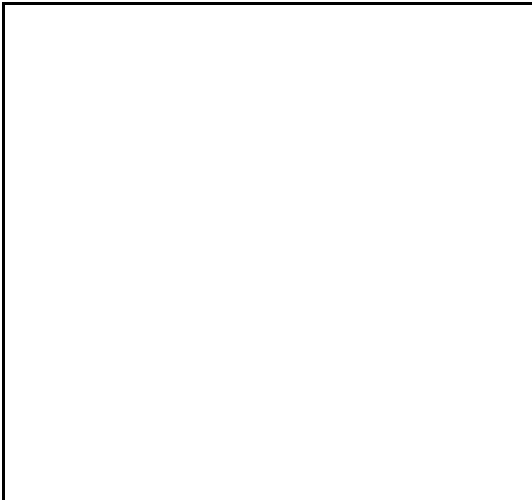


Photo Remarks: Facility Entrance

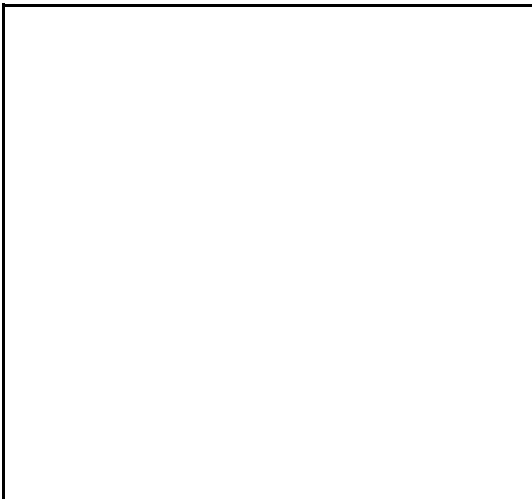
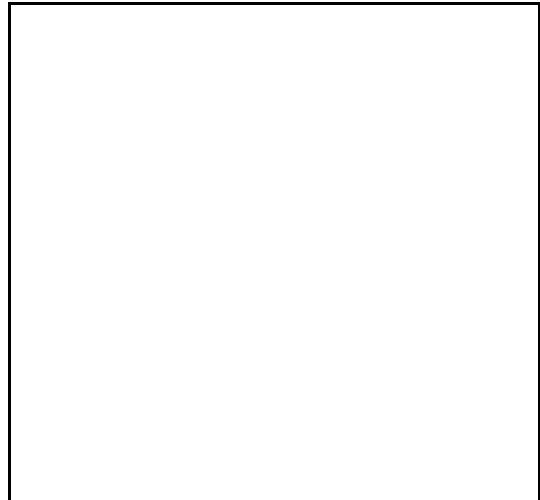


Photo Remarks: Facility Building

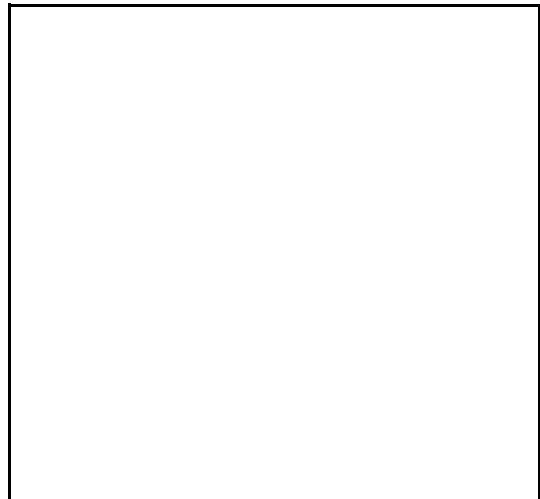


Photo Remarks: Loading & Docking Area



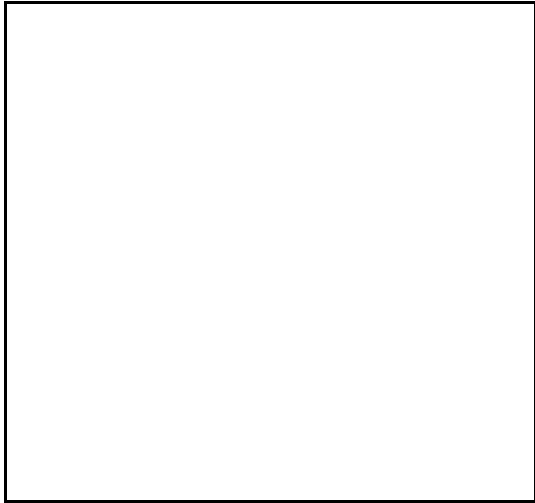


Photo Remarks: Packing Area


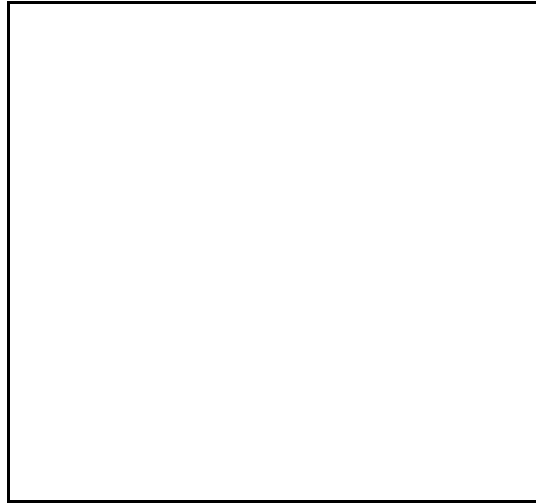


Photo Remarks: Non-Conformity (if any)





Photo Remarks: Others

