SAHIL PLASTIC PVT LIMITED

Gut number– 184, Jogeswari, Adjacent to 'L' Sector, MIDC Waluj, Aurangabad, Maharashtra, India 431136 09820710317

SCAN SECURITY AUDIT (ONSITE)

Report #	EAC-2022-08-0050-V1
Audit Submitted	Aug 02, 2022
Compliance Score	97%
Audit Type	EXTERNAL AUDIT

This Report Applies Solely for SCAN - Supplier Compliance Audit Network

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Location Information

SAHIL PLASTIC PVT LIMITED

Gut number– 184, Jogeswari, Adjacent to 'L' Sector, MIDC Waluj, Aurangabad, Maharashtra, India 431136
09820710317

SCAN ID	INO61S3862SA
Point of Contact Name	Mr. Muzammil Kudia - Managing director
Point of Contact Email	muzammil.kudia@sahilplastics.com
Target Month	*Not provided*
Location	SAHIL PLASTIC PVT LIMITED
Primary Location	Yes
Critical Location	No
Assigned Auditor	Bureau Veritas
Schedule Date	Jul 28, 2022

Audit Summary

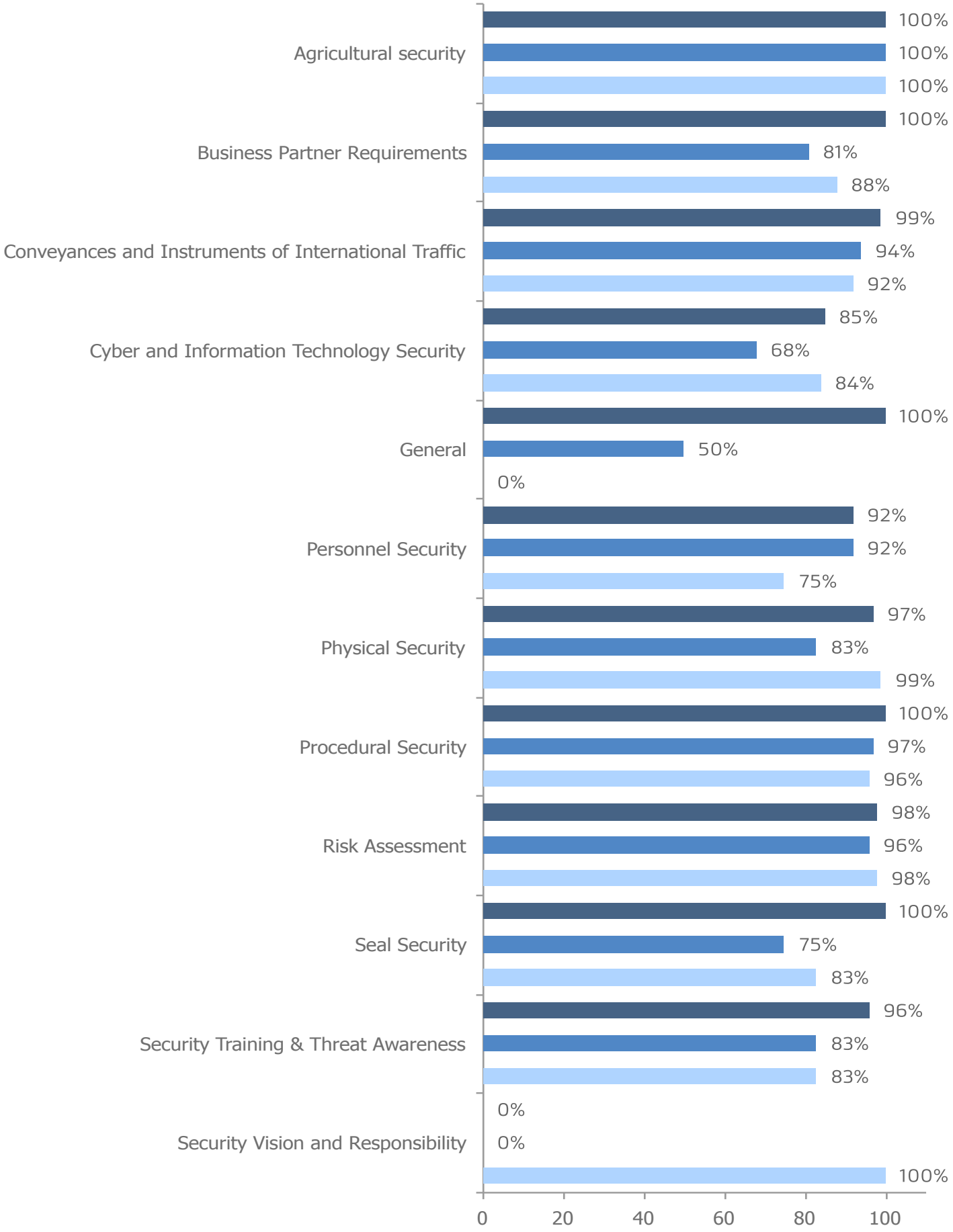
Pre CAPA

Audit Submitted
Aug 02, 2022

Compliance Score Pre CAPA
97%

Compliance by Category

Compliance by Category - Last 3 Audits


Agricultural security
100%
100%
100%
Business Partner Requirements
100%
81%
88%
Conveyances and Instruments of International Traffic
99%
94%
92%
Cyber and Information Technology Security
85%
68%
84%
General
100%
50%
0%
Personnel Security
92%
92%
75%
Physical Security
97%
83%
99%
Procedural Security
100%
97%
96%
Risk Assessment
98%
96%
98%
Seal Security
100%
75%
83%
Security Training & Threat Awareness
96%
83%
83%
Security Vision and Responsibility
0%
0%
100%
0
20
40
60
80
100

97% (Aug-2022)
86% (Sep-2021)
93% (Sep-2020)

Business Profile Information

Does the facility participate in any government, local customs, or World Customs Organization (WCO) accredited facility security program?	No
Do you hold a Government Supply Chain Security Certification?	Yes

Program	Certification Number	Proof of Certification
India - Authorized Economic Operator	390002330	IEC Certificate.jpg

Has the facility been reviewed or audited by this program?	Yes
Primary Industry of Operations	Home Textile Products
Product Type / Commodity	Ploy-propylene Mats
Year Established	2011
Grounds Size (Square Meters)	6206
Number of Buildings	1
Facility Size (Square Meters)	3047
Number of access points? (i.e. gates, exterior doors)	2
Hours of Operation	Facility operates in two shifts of 8 hours excluding break, (Weekoff- Friday) Shift 1: 7:00 AM to 3:30 PM, Lunch Break - 11:00 AM to 11:30 AM, Tea Break - 9:00 AM to 9.15 AM and 2:00 PM to 2.15 PM Shift 2: 3.30 PM to 11.30 PM, Meal Break - 7:00 PM to 7:30 PM, Tea Break - 5:30 to 5:45 PM and 9:30 to 9:45 PM Security Guards are working in 3 shifts of 8 hours : Shift A:6 AM to 2 PM Shift B: 2 PM to 10 AM Shift C: 10 AM to 6 AM
Number of Employees	51 - 100
Number of Contract Employees	22
Number of Security Guards	6
Number of Migrant Workers	0
Annual Revenue	50 - 100 Million
Does the facility outsource any manufacturing services?	No
What countries does this facility export to?	UK, USA, UAE, Australia, Africa, KSA
Does this facility have affiliate locations	No

where any work is conducted or product stored?	
Does the facility outsource any transportation services?	Yes

Company Name	Contact Email	Contact Email	Percentage of time
Pankaj Roadlines	Mr. Pankaj Ghewade	pankajroadlines15@gmail.com	100

Does this facility partner with any sales agent or vendor representatives?	No such affiliations found on the day of audit
Enter location address as it appears on the business license for this location.	GUT NO. 184, JOGESHWARI, NEAR L SECTOR, MIDC WALUJ, AURANGABAD, MAHARASHTRA - 431136
Name of Auditor Completing this Audit (First and Last Name)	K J Triveni
Auditor Certification #	217747-239174
Name of onsite Factory Representative (First and Last Name) and email address	Mr. Atul Patil, Plant Head, atul.patil@sahilplastics.com

Attached Documentation - Certification Photos

IEC Certificate.jpg

Audit Responses

Audit Assigned	Due Date	Overall Compliance Score
Jun 15, 2022	**Jul 30, 2022**	**97%**

General 100%

1 None Does the business license match the current location name and address as listed on the audit sheet?

- (●) Yes
- ( ) No

Factory License.jpg

Comments: Name and address on the business license match the current location.

2 Must Is there a primary point of contact (POC) identified regarding security matters?

- (●) Yes
- ( ) No

Comments: Primary contact - Mr. Atul Patil - Plant Manager, and Secondary Contacts - Mr. Shabbir -Admin & Shipping Executive and Mr. Shabir Pathan - Production Planning and Control

3 None Did the facility provide previous SCAN audit CAPAs to the auditor in preparation of this audit?

- ( ) Yes
- (●) No
- ( ) NA

Comments: Facility did not provide previous audit CAPA during this audit, as per the facility management they had submitted CAPA to the SCAN and after which they were unable to download the same from the portal.

5 Must Has the audited location recently (within the last 60 days) participated in the free SCAN Security and Threat Awareness Training provided in advance of this Audit?

- (●) Yes
- ( ) No

Training Certificate.jpg

Comments: Mr. Muzammil Kudia - Managing Director, has completed the training dated - 26 Jul 2022

Risk Assessment 98%

6 Must Does the facility have a risk assessment that identifies vulnerabilities in the business plan?

- (●) Yes
- ( ) No

Risk Assessment.jpg

Comments: Facility has done risk assessment that includes checking of vulnerabality in business plan.

7 Must Is the facility risk assessment shared with business partners and contractors?

- (●) Yes
- ( ) No

Comments: Risk assesment was shared with business partners as well as risk assessment was conducted by the facility.

8 Material Does the facility risk assessment include vulnerabilities specific to contracted service providers such as contractors, seasonal employees etc.?

- (●) Yes
- ( ) No

Risk Assessment.jpg

Comments: Risk assessment includes includes various vulnerabilities pertaining to contractors, Seasonal employees.

9 Must Is the facility risk assessment updated periodically?

- ( ) No updates noted or last update greater than 24 months ago
- (●) Last update within the past 12 months
- ( ) Last update between 12 months and 18 months
- ( ) Last update between 18 months and 24 months

Comments: Facility has updated the risk assessment within past 12 months, lates done on 23 July 2022

10 Must Define the facility's cargo mapping process. (Select all that apply)

- [x] A written cargo process map is available
- [ ] No written cargo process map is available
- [x] The cargo process map includes transit times from origin to final container yard
- [x] The cargo process map includes locations where freight may be at rest
- [ ] NA

Comments: Facility had written cargo map which indicated total transit time and where freight may be at rest.

11 Material Define the facility's crisis plan. (Select all that apply)

- [ ] No documented crisis plan available
- [x] Crisis plan includes reporting crisis-related issues to business partners as necessary
- [ ] Crisis plan includes alternative locations if facility is rendered unusable

Crisis Plan.docx

- [x] Documented crisis plan available

Comments: Based on document review, it was noted that facility has documented crisis plan which includes reporting crisis related issues to all stake holders (business partners) accessing high threat risks, however crisis plan does not include alternate location if facility rendered unusable.

Business Partner Requirements 100%

12 None Does the facility contract services such as security, transportation or manufacturing labor?

- (●) Yes
- ( ) No

Comments: Facility has contracted security service agency - Chetna Intelligence for employing security gaurds, Pankaj Roadlines for transportation of containers.

13 Must Does the facility review and provide copies of security criteria to business partners, particularly those that support international supply chain activities?

- (●) Yes - Security criteria reviewed and provided in local language
- ( ) Yes - Security criteria is reviewed but not provided to business partners
- ( ) No - Security criteria is not reviewed at all
- ( ) Yes - Security criteria reviewed and provided in English only.

Security Criteria.jpg

Comments: Security criteria was reviewed and provided in Hindi (local language) and English.

14 Must Does the facility have written procedures used in the selection of business partners including: material suppliers, manufacturers, and logistics service providers? (Select all that apply)

- [x] Documented screening process is available
- [x] Screening process is done on an annual basis
- [x] Screening process includes looking for evidence of money laundering and terrorism funding
- [ ] No screening process takes place
- [x] Screening process includes monitoring for financial stability

Business Partner Se... jpg

Comments: Facility has written procedure for selection of business partners and screening is carried out anually, and checking their financial records through cartered accountant for financial stability and any involvement in terrorism funding and money laundering.

15 Must Are the facility's contracted business partners required to conduct an annual security risk assessment of their operation?

- ( ) No
- (●) Yes - Annually
- ( ) Yes - every 2 years
- ( ) Yes - At time of contract initiation only

Comments: Security assessment of business partners are conducted annually, last assessment was done on 4 July 2022

16 Must Does the facility require business partners to provide a statement of compliance or complete a questionnaire highlighting CTPAT Minimum Security Requirements that are in place? Is the statement or questionnaire renewed annually? (Select all that apply)

- [x] Compliance Statement and/or Security Questionnaire required
- [ ] No
- [x] Renewed annually

Comments: Facility requires Business partners to submit a CTPAT questionnaire and it is renewed annually

17 Must If there are areas of non compliance found on the questionnaire, does the facility require corrective actions plans from the business partner with evidence of implementation?

- (•) Yes
- ( ) No

Comments: Facility requires Business partners to submit a CAP for issues identifed in reviewing the Security questionaire

Cyber and Information Technology Security 85%

18 Must Does the facility have a comprehensive written cyber security policy to protect information technology systems? Is the policy reviewed and updated annually?

- (•) Policy is written and was updated within the past 12 months
- ( ) Policy is written and was updated within the past 12-18 months
- ( ) Policy is written but last update was greater than 18 months ago
- ( ) No written policy is available
- ( ) NA

Comments: Facility has written cyber security policy and it was last reviewed on April 1, 2022

19 Must Does the facility have firewall and malware software installed to identify, protect, detect, respond and recover their network? (Select all that apply)

- [x] Firewall deployed
- [x] Anti-malware software installed
- [ ] No firewall or anti-malware software deployed
- [ ] NA

Comments: Firewall and Antivirus/antimalware used - Quick Heal Total Security

20 Must How frequently are updates performed on firewall and malware software? (Select all that apply)

- [x] Software updates are automatically deployed from the software providers

- [ ] Manual updates installed by on site IT services as needed
- [ ] No updating is performed
- [ ] NA

Comments: Software updates are automatically deployed and updated automatically. As per facility management they do not use any such softwares where manual updation will be required.

21 Must Are test scenarios conducted to identify open ports and IP addresses that create vulnerable access to the internal network?

- [x] Vulnerability tests are conducted by IT personnel
- [ ] No vulnerability tests are conducted
- [ ] NA

Comments: Vulnerability tests are conducted by the IT person once a month

22 None What actions are taken when problems are identified while testing firewall, malware, and other network vulnerabilities?

No options available

Comments: If any virus found automatically detected and killed by the antivirus softwar.
If any malware/virus identified facility will remove the PC from the network, full scan will be done for that system, the infected file will be checked that whether the same infected file has been used by the other users too and if it has been identified then it will also be removed from the networking.

23 Material To whom does the facility report cybersecurity threats and attempts at unapproved access to network systems?

- [ ] Senior management
- [ ] Internal business partners
- [ ] External business partners
- [ ] Customers / suppliers
- [x] Government agencies
- [ ] No reporting process and procedure in place
- [ ] NA

Comments: It was noted that facility reports attempts of cybersecurity threats only to local law enforcement and it does not report to senior management, internal business partners, external business partners and customers/suppliers.

24 Must Are automated systems in place to monitor and prevent attempts of unauthorized access and tampering with systems and/or electronic data?

- [ ] No
- [x] Yes
- [ ] NA

Comments: All systems used at the facility are password protected.

25 Must Does management regularly review the employees with network access in order to restrict access to only those applications required to perform current job requirements?

- (●) Management reviews annually
- ( ) Management reviews quarterly
- ( ) Management reviews monthly
- ( ) No management review conducted
- ( ) NA

Comments: Network access to employees reviewed anually, last review was done on 1 April 2022
As per the management, people with network access are permanent employees with fixed job function and in a very rare case there will be change in employee, and access is reviewed whenever their is such change.

26 Must Is there a written procedure to remove network access for employees who are terminated or on leave longer than vacation? (Select all that apply)

- [x] Access immediately removed for terminated employees
- [x] Employees on long term disability or maternity leave have access suspended
- [ ] No written procedure is available
- [ ] NA

Comments: There is written policy and procedure for removal of access for terminated employees and change in password for employee on long leaves or vacations

27 Must How is computer access managed at the factory? (Select all that apply)

- [x] Passwords are required
- [ ] No passwords are required
- [x] Passwords are changed periodically.
- [x] Passwords must be complex
- [ ] NA

Comments: Passwords are changed periodically - every 90 days.

28 Must If employees and/or contractors are permitted to access information technology (IT) systems remotely, is a virtual private network (VPN) or similar software used to control access?

- ( ) Remote access is permitted and VPN or similar software is used
- ( ) Remote access is permitted but no VPN or similar software is used to control accesss
- (●) Remote access is not permitted

Comments: Facility does not permit remote access to its network system.

29 Must Do all security policies apply to personal devices that connect to the network?

- ( ) Facility does not permit personal devices to connect to the network
- (●) All security policies apply to personal devices

- ○ Security policies do not apply to personal devices

Comments: Security policy applies to the personal devices used to connect to company computers

30 Material Does IT security limit and monitor the downloading of software and access to external websites?

- ◉ No
- ○ Yes

Comments: Facility policy does not restrict any downloading of software and access to external websites.

31 Material How frequently is data backed up for this facility?

- ○ No data back ups are performed
- ○ Data is backed up daily
- ◉ Data is backed up weekly
- ○ Data is backed up monthly

Comments: Data back up is dones once a week by the IT person of the facility.

32 Material Is the data backup stored offsite and encrypted?

- ☑ Data backup is stored offiste
- ☑ Data backup is encrypted
- ☐ Data is not stored offsite nor encrypted

Comments: Backup data is encrypted and stored in hard disk which is stoerd at the facility's head office at Mumbai.

33 Material Is equipment slated for disposal returned to the IT department for disposal?

- ◉ Yes
- ○ No

Comments: All information technology equipment are returned to IT department for disposal.

Conveyances and Instruments of International Traffic 99%

34 None Does the facility load trailers/containers or Instruments of International Traffic (IIT)?

- ◉ Yes
- ○ No

Comments: As per facility's management they load 100% FCL.

35 Critical While in the facility's control are containers stored in a secured manner whether on-site or off site?

- ☑ Container/trailer storage area is free from personal vehicle parking and any other storage
- ☑ Area is secured as described in CTPAT MSC requirements

- [x] Stored, loaded containers/trailers are secured with a seal
- [ ] Container/trailer storage does not meet minimum security requirements

Comments: The facility has dedicated area for loading the container. As per the interaction with the management they do not store the container in facility overnight. The loading areas was free from personal vehicle parking. Loaded containers are secured with a seal.

36 None Were you able to observe a container inspection in process or a previously completed container inspection via CCTV recordings?

- (●) Yes
- ( ) No

Comments: Container inspection process was visible on CCTV recording.

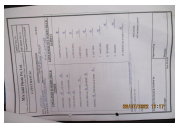
37 Critical Is there a written procedure in place to inspect the security integrity of a container or trailer prior to loading?

- (●) Yes
- ( ) No

Container inspcetio... jpg

Comments: The facility has written procedure in place to inspect the security integrity of a container or trailer prior to loading.

38 Critical Is there a documented, comprehensive inspection of a trailer/container conducted prior to loading of the container? (Select all that apply)



Container inspectio... jpg

- [ ] Size of container notated
- [ ] Name of person performing the inspections included on checklist
- [x] Undercarriage checked for damage
- [ ] No inspections completed or documented
- [x] Checklist is utilized
- [x] Date and time of inspection notated
- [x] Floor and roof of container intact no holes or leaks notated
- [x] Outside walls free of damage notated
- [x] Inspection for invasive species (eggs nests, dirt seeds) included

Comments: Facility is utilising the document for ispection of a trailer/ container, however it was noted that facility is not noting the size of the container on the cheklist and the name of the person conducting inspection was left blank.

39 Material Are photos and/or CCTV videos taken during the container/trailer loading process? (Select all that apply)

Container inspectio... jpg

- [x] Photos are captured
- [ ] No visual documentation is recorded
- [x] Video is captured

Comments: Facility captures photo of contanier inspection, and CCTV recording of container inspection was maintained.

40 Critical Does the shipping area use equipment to conduct a 7-point container inspection? (Select all that apply)

Instruments for con... jpg

- [x] Mirrors for undercarriage
- [ ] No tools available/tools do not meet requirements
- [x] Measurement tool
- [x] Tap test tool
- [x] Container Interior cleaning tool

Comments: Facility use undercarriage miror, hammer, measuring tape for testing and mops for cleaning of the container.

41 Material Are container inspections conducted in a secure area and in view of CCTV cameras? (Select all that apply)

- [x] Inside of trailer/container is visible from tail to nose on CCTV
- [x] Trailer inspection area is visible on CCTV
- [x] Inspections are conducted in a secured area
- [ ] Inspections are not captured on CCTV nor in a secured area

Comments: Container inspection area, inside of the container from tail to nose were visible on CCTV and inspections were conducted in a secured area.

42 Must Does the facility maintain training records indicating which employees are trained to perform a 7-point container/trailer inspection?

- (●) Yes
- ( ) No

Comments: Training records of employees on 7 point container inspection was maintained.

43 Material Is there a procedure where management or supervision conducts follow up inspections?

- (●) Yes
- ( ) No

Comments: Production incharge and packing incharge conducts follow up inspections.

44 Material Are container/trailer inspections supervised?

- (●) Yes
- ( ) No

Comments: Mr. Sabir - PPC supervises the trailer inspcetion.

45 None Does the facility directly contract transportation service providers for any of their customers

or business partners?

- (●) Yes
- ( ) No

Comments: Contracts with transportation services are done directly with the service provider.

46 Material Does the facility have a written procedure to require confirmation of arrival at destination (container yard or freight forwarder's location) for items shipped?

- (●) Yes
- ( ) No

Comments: Facility has a written procedure to confirm arrival at destination.

47 Material What tracking technologies does the facility require to be used by the contracted transportation company to confirm cargo arrival? (Select all that apply)

- [●] GPS carrier controlled
- [ ] GPS shipper controlled
- [ ] Cell phone check by carrier dispatch
- [ ] Cell phone confirmation by driver
- [ ] No document or report was available to review
- [ ] Other
- [ ] No tracking technologies used

Comments: GPS is utilised for tracking of the container and it is carrier controlled.

48 Material Where possible, are transit routes from the facility to the port or next destination location randomly changed to minimize predictability?

- (●) Yes
- ( ) No
- ( ) NA

Comments: Routes are randomly changed to minimize the predictability.

49 Material Does the facility provide written instructions to transportation service drivers detailing that only required stops are permitted? (i.e. inspections by governmental agencies, refueling etc.)

- ( ) No
- (●) Yes
- ( ) NA

Comments: Facility has written instructions to transport service is provided that only required specified stops are permitted. Any unexpected stops will be notified to the facility.

50 Critical Does the facility document driver information for arriving and departing material movements? (Select all that apply)

- [x] Driver log is maintained
- [x] Tractor number listed
- [x] Container/trailer number listed
- [x] Photo ID required of drivers
- [ ] No driver log available
- [x] Carrier name
- [x] Date
- [x] Arrival Time
- [x] Departure Time
- [x] Seal verification information for container/trailer departure

Comments: Facility has maintained driver log which includes truck number/tractor number, drivers licence, carrier name, date arrival, departure and seal verification of the container, however it was noted that container number was not noted on the log.

51 None Does the facility ship less than container load (LCL)?

- ( ) Yes
- (•) No

Comments: Facility does not ship less than container load.

53 None Does the facility make air shipments?

- ( ) Yes
- (•) No

Comments: Facility does not make air shipment

55 None Does the facility make any shipments in open top, open sided, ventilated (livestock), soft sided containers?

- ( ) Yes
- (•) No

Comments: Facility does not make shipment in the open top, open sided, ventilated or soft sided containers.

57 Critical Are international shipments sealed with an ISO 17712:2013 compliant high-security seal immediately after a container or trailer is loaded?

- (•) Yes
- ( ) No
- ( ) NA

Comments: Facility has policy and procedure for shipment to be sealed with an ISO 17712:2013 compliant high security seal immediately after a container or trailer is loaded and facility has provide certificate of ISO 17712:2013 tested report and the seal was stored with authorized person.

58 Critical Does the facility have written and verifiable procedures to ensure that security seals are controlled? (Select all that apply)

Seal Control Proced... jpg

- [x] Policy is written
- [x] Seals are secured in storage
- [x] Specific employees are listed who have access to seal storage
- [ ] No written policy is available

Comments: Written policy is there to keep the seals secured and it has designated person (Mr. Md. Shabir, Documentation) who was assigned for seal control.

Agricultural security 100%

59 Material Does the facility remove dirt and other debris from containers' exterior prior to loading?

- (●) Yes
- ( ) No

Comments: As per the facility management container arrives at the facility after it has undergone washing and cleaning.

60 Material Does the facility have a procedure to inspect and review evidence of pest access such as baited traps, periodic extermination, and removal of debris from shipping and storage facilities?

- (●) Yes
- ( ) No

Comments: Facility has procedures to inspect and review pest control.

61 Must Is wood packaging material heat treated or fumigated to kill pests and limit the potential for introduction of pests at the container stuffing location? (Select all that apply)

- [ ] Only heat treated or otherwise treated packaging material is utilized at this location
- [ ] Origins of all wood used in the manufacturing process is documented and provided to the receiver
- [ ] Factory cannot detail how wood packaging material is treated prior to utilization
- [x] NA

Comments: Facility does not use wood packaging and wood products in the manufacturing process.

62 Must Are wood and wood products utilized in the manufacturing process identified by source and species?

- ( ) Yes
- ( ) No
- (●) NA

Comments: Facility does not use wood packaging and wood products in the manufacturing process.

63 Must Are wood pallets used in the shipping process heat treated or fumigated to kill pests and

limit the possible introduction of pests at the loading facility? Are pallets stored inside the facility to limit the exposure to seeds, dirt and other forms of contamination? (Select all that apply)

- [ ] Pallets are heat treated or fumigated
- [ ] Pallets are marked with a heat treated stamp or a Phytosanitary inspection certificate is issued with each pallet delivery
- [ ] Pallets are stored inside the building
- [ ] Pallets are observed stored outside and on the ground
- [ ] Pallets are not heat treated nor fumigated
- [x] NA

Comments: Facility does not use wood packaging and wood products in the manufacturing process.

Seal Security 100%

64 Critical Are security seals stored in a secured location?

- (•) Yes
- ( ) No
- ( ) NA

Comments: Security seals are stored in a locked cabinet in the Production Manager's cabin.

65 Must Does the facility have documented test reports or statements from the seal vendor to validate that the seals utilized meet the most recent ISO 17712 criteria?

- (•) Yes
- ( ) No
- ( ) NA

Seal Test Report.jpg

Comments: Security seal test reports were available for review.

66 Must Is there a procedure in place requiring management level personnel to conduct periodic audits of the seal inventory, seal log, and shipping documents and conveyances to validate that the seal controls are being followed. All steps must be documented. (Select all that apply)

- [x] A written procedure is available
- [x] Audits are conducted
- [x] Audits are documented
- [ ] No written procedure or practices are in place
- [ ] NA

Comments: Facility has a written procedure to conduct internal security audit in which seal audit was also included, last audit was done on 13 July 2022.

67 Critical Describe the facility's seal application process. (Select all that apply)

- [x] VVTT process included in seal application procedure

- [x] Secondary testing and validation is checked by supervisors or security guard at time of exit from the facility
- [x] Seal numbers are written on shipping documents
- [x] Testing procedure recorded on CCTV footage
- [x] Seal numbers are communicated or otherwise transmitted to the consignee
- [x] Facility is advised when seal numbers are changed prior to departure from port of origin
- [ ] NA

Comments: Facility had a written procedure for seal application and follow all the process, further noted that seal application process is also recorded on the CCTV.

Procedural Security 100%

68 Critical Is the area adjacent to the shipping and receiving areas enclosed or otherwise monitored?

- (•) Yes
- ( ) No

Comments: Shipping area were monitored by the security guards and CCTV recordings.

69 Critical Is a written procedure in place to report unauthorized access to a container or a trailer, and/or product storage areas within the facility including whom to notify?

- (•) Yes
- ( ) No

Procedure to report... jpg

Comments: *No comments were provided*

70 Critical Is a written procedure in place to monitor and limit access to critical operational areas of the facility, such as warehouse picking, final packing or packaging, shipping and receiving?

- (•) Yes
- ( ) No

Procedure to limit a... jpg

Comments: *No comments were provided*

71 Critical Is a written procedure in place that requires all information used in the shipping documents for merchandise/cargo to be legible, complete, and accurate?

- (•) Yes
- ( ) No

Procedure for shipp... jpg

Comments: *No comments were provided*

72 Critical Is a written procedure in place to resolve a carton count shortage, overage, or any documentation issue found during container or trailer loading; or after the shipment has departed the facility?

- (●) Yes
- ( ) No

Procedure for short... jpg

Comments: *No comments were provided*

73 Critical Are international shipments marked, counted, weighed, and properly reported on shipping documents?

- (●) Yes
- ( ) No

Weight and quantit... jpg

Comments: *No comments were provided*

74 Critical Is a written procedure in place that restricts access to shipping and receiving documentation?

- ( ) No
- (●) Yes

Procedure to restric... jpg

Comments: *No comments were provided*

75 Material Are pre-printed paper documents/forms used to prepare commercial documents and properly secured? (Select all that apply)

- [x] Documents are secured
- [x] Pre-printed paper documents are utilized
- [ ] Pre-printed documents are not utilized or secured

Comments: Facility uses printed documents such as packing list and invoices to prepare commercial documents and also documents are secured with only access to the logistics/ documentation incharge.

76 Material Are shared network printers password protected when used to prepare export documents?

- ( ) Yes
- ( ) No
- (●) NA

Comments: Facility does not use shared network printers and export documents are prepared by authorised personnel only.

77 Critical Are commercial document packets sent with the shipment at departure?

- (●) Yes

- [ ] No

Shipping docume... docx

Comments: *No comments were provided*

78 Critical Is a written procedure in place to notify local law enforcement and the customer when illegal shipping activity or any abnormality is suspected or detected?

- [x] Yes
- [ ] No

Procedure to notify ... jpg

Comments: *No comments were provided*

79 Critical Are access control procedures or devices used to ensure that only authorized employees have access to the facility?

- [x] Yes
- [ ] No

Access control proc... jpg

Comments: *No comments were provided*

80 Critical Is there a procedure in place to notify Business Partners of security issues such as attempted theft, fraud or internal conspiracies?

- [x] Yes
- [ ] No

Procedure to notify ... jpg

Comments: *No comments were provided*

81 Material Does the shipping department validate the freight being loaded against the Purchase Order prior to departure?

- [x] Yes
- [ ] No

Comments: Shipment being loaded is validated by the supervisor whether it is according to packing list which is according to the PO.

82 Critical Is a written procedure in place to control the issue, removal, and changing of access devices such as ID badge, door and lock keys, access cards, and security alarm codes?

- [x] Yes
- [ ] No

Removal of access ... jpg

Comments: *No comments were provided*

83 None Do you have dedicated security staff/guards on site?

- (●) Yes
- ( ) No

Comments: Facility has 6 dedicated security guards working in 3 shifts

84 Must Are written job descriptions in place outlining the roles and responsibilities of security staff or staff performing dual roles that include security functions.

- (●) Yes
- ( ) No

Comments: Written job description provided to security guards

85 Must Does the facility require the security staff or contractors to "patrol" the facility during off business hours and "patrols" are documented either with CCTV surveillance, electronic recordings or with paper check lists?

- (●) Patrols are required; documented electronically or via CCTV
- ( ) Patrols are required; documented via paper only
- ( ) Patrols are required; no documentation available
- ( ) Patrols are not required nor documented

Comments: Patrolling are documented electronically and it was also recorded via CCTV.

86 Must Does management verify compliance with security company work instructions and policies?

- (●) Yes
- ( ) No

Comments: The facility management verify compliance with security company work instructions and policies and internal audit was done on regular basis.

Physical Security 97%

87 Critical Is there a designated employee and visitor vehicle parking area separate from the shipping and receiving area?

- (●) Yes
- ( ) No

Comments: As per the facility policy Visitor vehicles not allowed in the facility, they are kept outside the main entrance of the facility.

88 Material Are appropriate controls in place to segregate domestic goods from goods intended for international shipment?

- (●) Yes
- ( ) No

Comments: Facility has procedure to segregate domestic and international goods as the packing are done on separate days, international goods are packed separately and stored in a dedicated ware house. As per the facility management there will not be any international and domestic goods packing happened on the same day.

89 Material Is a preventative maintenance procedure in place that requires a regular inspection of perimeter fencing or other barriers, buildings, and structures? (Select all that apply)

- [ ] Nothing in place
- [x] Procedure is written
- [x] Regular inspections are documented
- [x] Preventative maintenance logs kept

Comments: Regular inspections of the building including perimeter was done by the safety and compliance team and log was maintained.

90 Critical Are facility gates through which vehicles and/or employees enter and exit guarded or monitored? (Select all that apply)

- [ ] Nothing in place
- [x] Gates are installed at all entrances/exits
- [x] Gates are monitored by guards/CCTV
- [ ] NA

Facility main entran... jpg

Comments: Facility has CCTV installed in all access gates and deployed Security guards.

91 Critical Are gates locked or otherwise secured when not in use?

- (•) Yes
- ( ) No
- ( ) NA

Comments: *No comments were provided*

92 Must Does the facility have sufficient lighting at entrances, exits, cargo handling and storage areas, along fence lines, and in parking areas to detect movement during periods of darkness?

- [ ] Nothing in place
- [x] Interior lighting
- [x] Exterior lighting
- [ ] NA

Comments: Facility has sufficient lights in interior and exterior.

93 None Which of the following security technologies does the facility incorporate as part of its systems and controls? (Select all that apply)

- [x] CCTV
- [x] Access Control

- [x] Security Alarm
- [x] Other
- [ ] None

Comments: Facility has CCTV camera and security guard to monitor the access controls which also includes intrution alarm in the warehouse storage area for international goods.

94 Must Do you have written procedures governing the use of the security technology?

- (•) Yes
- ( ) No
- ( ) NA

Procedure governin... jpg

Comments: *No comments were provided*

95 Material Was security equipment installed by a licensed/certified contractor?

- (•) Yes
- ( ) No

Comments: Security systems are installed by the licensed vendor.

96 Material Do you have maintenance contracts in place for your security systems?

- (•) Contracts are annually reviewed
- ( ) Contracts are only reviewed when problems are uncovered
- ( ) No contract is in place

Comments: Maintenance of the security system is done by the IT Department and facility also had annual contract with M/s. Dwarkadish Enterprises.

97 Must Are Critical Security Infrastructure locations secured and authorized access limited to only those whose jobs require access?

- (•) Yes
- ( ) No

Comments: *No comments were provided*

98 Material In the event of a power outage, does the facility have an alternate electrical power system to ensure uninterrupted operation of electronic security systems?

- (•) Yes
- ( ) No
- ( ) NA

Comments: In case of power failure UPS backup is connceted with CCTV, cameras and emergency lights

99 Critical Is a CCTV system used to monitor the facility and premises' including entrances, exits, cargo storage, shipping, and other loading/unloading areas? (Select all that apply)

- [x] All entrance(s)
- [x] All exit(s)
- [x] Storage/warehouse
- [x] Loading area(s)
- [x] Unloading area(s)
- [x] CCTV coverage in additional areas
- [ ] No CCTV

Picture of CCTV mo... jpg

Comments: CCTV coverage in additional area are production areas and perimeter walls.

100 Material Does your CCTV system have a failure alarm that indicates when the system is off line or no recording is underway?

- (•) Yes
- ( ) No

Comments: As per the facility management CCTV system will indicate failur of CCTV recording when the disc is full by displaying red exclamation mark.

101 Critical Does the CCTV system run 24 hours per day 7 days per week?

- (•) Yes
- ( ) No

Comments: *No comments were provided*

102 Must Is the facility's CCTV system recording at the highest quality picture setting available?

- (•) Yes
- ( ) No

Comments: CCTV recording was at the highest quality picture setting.

103 Must Does the facility's management team conduct random documented reviews of CCTV footage periodically to ensure security procedures are being followed? (Select all that apply)

- (•) Yes
- ( ) No

Comments: CCTV footage were randomly checked and log was maintained.

104 Critical How many days are CCTV recordings kept?

- ( ) 90 or more days
- ( ) Less than 30 days
- ( ) Recordings not retained
- ( ) 45 - 89 days
- (•) 30 - 44 days

Comments: Facility manintains CCTV recording for 30 days.

105 Must Do employees display their ID badge at all times while at the facility?

- (●) Yes
- ( ) No
- ( ) IDs carried but not displayed

Comments: All employees were wearing ID cards.

106 Critical Is a written procedure in place to require visitors to present photo identification upon arrival and have security or other authorized employee record their information in a log? (Select all that apply)

- [x] Written procedure is available
- [x] Photo ID is required
- [x] Visitor Log is utilized
- [ ] No written process is in place
- [ ] Photo IDs are not checked

Visitor access contr... jpg

Comments: *No comments were provided*

107 Must Is a written procedure in place to inspect a visitor's bag before entering and leaving the manufacturing, production or shipping area of the facility?

- (●) Yes
- ( ) No

Comments: Facility had procedure to check the bags of visitors.

108 Critical Is a visitor issued a numbered visitor badge which is displayed or carried while at the facility?

- (●) Yes
- ( ) No

Comments: Facility issued a numbered visitor identification badge to the visitors.

109 Critical Is a visitor escorted at all times while at the facility?

- (●) Yes
- ( ) No

Comments: Visitors are escorted at all times while at facility.

110 Material Is a written procedure in place to inspect a suspicious package and mail for dangerous materials and/or contraband prior to distribution? A written procedure is in place to periodically inspect arriving packages for contraband.

- (●) Yes

- ○ No
- ○ NA

Comments: Facility have included inspection for contraband in their Security policy and procedures.

111 Material Are hazardous materials or high value goods stored at the facility? If so, are hazmat goods or high value goods segregated from other items?

- ○ Yes
- ○ No
- ◉ NA

Comments: Facility does not have hazardous or high value goods stored at the facility.

Personnel Security 92%

112 Must Does the facility have a written procedure in place to validate information provided on an employment application, such as an address, previous employment history, education, personal or professional references, and a certification? (Select all that apply)

- ☐ Nothing in place
- ☑ Policy is written
- ☑ Education check
- ☑ Reference check
- ☑ Previous employment check
- ☐ NA

Comments: Facility has policy to perform background checks for the employees working in sensitive area. Background checks are performed for new employees and all employees once every year.

113 Must Are permanent and temporary job applicant(s) required to submit a written application for employment and provide proof of their identity? (Select all that apply)

- ☑ Written application required
- ☑ Government issued ID required
- ☐ No
- ☐ NA

Comments: *No comments were provided*

114 Must If allowed by local law, is a written procedure in place to perform a background check on an applicant and employee who works in a sensitive area of the facility, such as personnel, shipping, computer systems, or contract employees? (Select all that apply)

- ☑ Written policy is available
- ☑ Criminal background checks completed
- ☐ Credit check completed

- [ ] Nothing in place
- [ ] NA

Comments: Facility had written procedure to perform background checks and facility had performed checks on education, previous employment and criminal background checks, however they are not performing credit checks.

Security Training & Threat Awareness 96%

115 Must Is a security threat awareness training provided to all new employees and an annual refresher course for current employees?

- [x] Training logs are kept to insure required personnel attend the training
- [x] Management personnel randomly reviews documentation
- [ ] There is no Threat Awareness training in place
- [x] Training program in place
- [x] Training provided annually for all employees
- [x] Training provided for new employees

Comments: *No comments were provided*

116 Must Does security threat awareness training cover security-related issues?

- (•) Yes
- ( ) No

Comments: *No comments were provided*

117 Material Is there an evaluation of understanding included at the end of a training session? (Select all that apply)

- [x] No evaluations are conducted
- [ ] Retraining is required if a successful score is not achieved
- [ ] Evaluations are conducted
- [ ] NA

Comments: Facility did not conduct evaluation of understanding of the training conducted.

118 Must Does the facility provide training to employees who conduct security and agricultural inspections? (Select all that apply)

- [x] Training material lists specific requirements
- [x] Training logs list employees working in this area
- [x] Training provided annually for existing employees with this job function
- [x] Training provided for new employees with this job function
- [ ] No training logs for this specific criteria
- [ ] No training material for this specific criteria

Comments: *No comments were provided*

119 Must Does training include security criteria for restricted areas of the facility such as final packing, shipping and receiving?

- [x] Training material lists specific requirements
- [x] Training logs list employees working in this area
- [x] Training provided annually for existing employees with this job function
- [x] Training provided for new employees with this job function
- [ ] No training logs for this specific criteria
- [ ] No training material for this specific criteria

Comments: *No comments were provided*

120 Must Does Threat Awareness training inform employees of procedures to report suspicious activity or a security incident?

- (●) Yes
- ( ) No

Comments: *No comments were provided*

121 Must Does Threat Awareness training provide additional instruction to shipping and receiving employees regarding access controls, container and trailer inspection, and security seal control procedures? (Select all that apply)

- [x] Training includes shipping & receiving controls
- [x] Training includes how to conduct container/trailer inspections
- [x] Training includes container/trailer sealing practices
- [x] Training includes how to control seals
- [ ] No specific additional training is in place for shipping & receiving personnel

Comments: *No comments were provided*

122 Must Does the training program include Threat Awareness, Contraband, Human Smuggling and Terrorism?

- (●) Yes
- ( ) No

Comments: *No comments were provided*

123 Material Does the facility have a program to recognize an employee when reporting a security incident or recommending improvements?

- (●) Yes
- ( ) No

Comments: *No comments were provided*

124 Must Does training include identifying pest contamination?

- (●) Yes
- ( ) No

Comments: *No comments were provided*

125 Must Is there a documented training platform outlining the risks of Cybersecurity?

- (●) Yes
- ( ) No
- ( ) NA

Comments: *No comments were provided*

Misc

NA

126 None Describe the front of the factory building including any signage. Please attach a picture.

No options available

Front gate of the f... docx

Comments: Facility has 1 buildings constructed of iron and concrete, secured by concrete perimeter fencing upto a height of 10 feet. Facility has displayed factory's address and name board at the entrance. Factory has a concrete wall with Iron Gate on the front side of the compound and security guards are deployed at entrance of factory. Facility has 2 gates only which is monitored and controlled by security guards and CCTV cameras.

127 None Describe the guard station and facility access gates. Please attach a picture.

No options available

Guard station.docx

Comments: Security post was located near the front gate. Facility has only 2 gates, however only one gate is used for the employee and cargo movement and it is monitored by security guards and CCTV cameras 24X7 in 3 shifts.

128 None Describe the buildings and structures for this location. Please attach a picture.

No options available

Building descripti... docx

Comments: Facility building is made up of Iron and Concrete material. The facility has 2 gate, however only 1 gate is used for employee and cargo movement, boundary wall/fencing was made of concrete and fencing upto a height 10 feet and CCTV covreage throughout the facility. Facility has 1 building with ground floor only. Production activities carried on Mixing, extrusion, weaving, cutting, finishing, taping, checking, final packing and finished goods storage and despatch.

129 None Describe the shipping and receiving areas. Please attach a picture.

No options available

Shipping and Rece...docx

Comments: Facility Shipping and receiving areas access Controled and monitored by CCTV and security guard 24/7. Shipping area and receiving area have separate designated place with vehicles/containers and trucks entering at the main gate.

130 None Describe how the perimeter of the facility is protected from unauthorized access? Please attach pictures

No options available

Perimeter wall, lig... docx

Comments: Perimeter of the facility is secure by 10 feet concrete wall and fencing on 4 sides to control unauthorized access.

131 None Describe the final packaging area. Please attach a picture.

No options available

Packing and packe...docx

Comments: Facility have adequate system to control access in packing area. As per policy and procedure, access in packing areas is controlled by security guard and CCTV camera. List of authorized employees are posted on entry point of packing and packed goods storage area and a security gauard is deployed to control the access. No employee/visitor can access packing and packed goods storage area without permission.

132 None Describe any container storage and vehicle parking areas and please attach picture.

No options available

Cargo loading and... docx

Comments: Visitor vehicles are stopped at the main gate and are not allowed to be parked within the facility, parking area for Management Staff and Employees are provided near the main entrance which is away from the cargo loading point. As per the facility management employee or staff do not bring vehicles as all are from nearby area and they come to facility by walk. A security guard is deployed at the location when a container beign loaded. Access was controlled and monitored in container loading area. CCTV Camera installed and all activity is conducted in the presence of Security Guards. As per the facility management container loaded or empty is not stored in the facility overnight.

133 None Did the Factory Representative and the Auditor sign the Opening Meeting Letter? Please attach the signed copy.

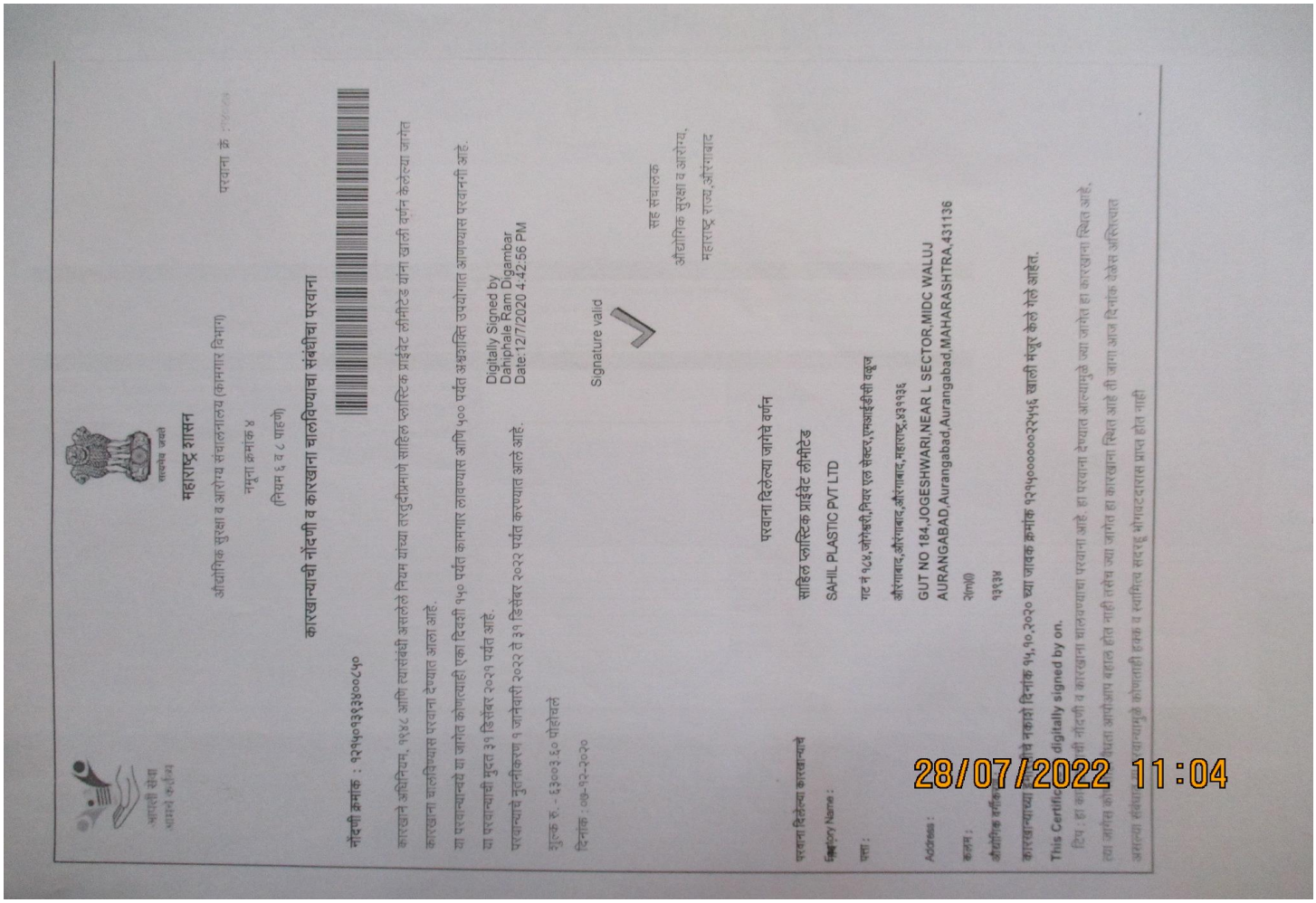
- (●) Yes
- ( ) No

Opening meeting l... docx

Comments: Yes facility representative and the auditor sign the Opening meeting letter

Attached Documentation - Photos

General - Question # 1

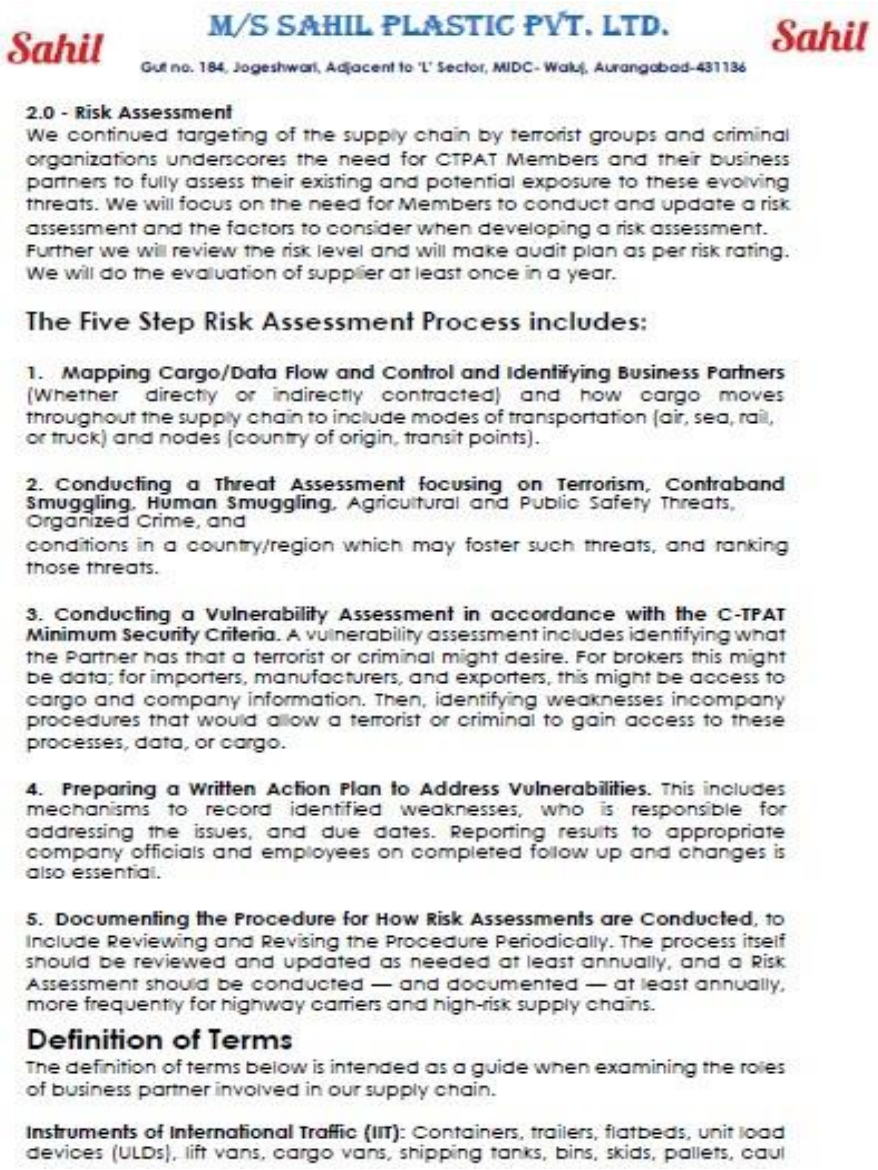


Factory License.jpg

General - Question # 5

Training Certificate.jpg

Risk Assessment - Question # 6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Gut no. 184, Jogeshwari, Adjacent to 'L' Sector, MIDC - Waluj, Aurangabad-431136

2.0 - Risk Assessment
We continued targeting of the supply chain by terrorist groups and criminal organizations underscores the need for CTPAT Members and their business partners to fully assess their existing and potential exposure to these evolving threats. We will focus on the need for Members to conduct and update a risk assessment and the factors to consider when developing a risk assessment. Further we will review the risk level and will make audit plan as per risk rating. We will do the evaluation of supplier at least once in a year.

The Five Step Risk Assessment Process includes:

1. **Mapping Cargo/Data Flow and Control and Identifying Business Partners** (Whether directly or indirectly contracted) and how cargo moves throughout the supply chain to include modes of transportation (air, sea, rail, or truck) and nodes (country of origin, transit points).

2. **Conducting a Threat Assessment focusing on Terrorism, Contraband Smuggling, Human Smuggling**, Agricultural and Public Safety Threats, Organized Crime, and
conditions in a country/region which may foster such threats, and ranking those threats.

3. **Conducting a Vulnerability Assessment in accordance with the C-TPAT Minimum Security Criteria.** A vulnerability assessment includes identifying what the Partner has that a terrorist or criminal might desire. For brokers this might be data; for importers, manufacturers, and exporters, this might be access to cargo and company information. Then, identifying weaknesses incompany procedures that would allow a terrorist or criminal to gain access to these processes, data, or cargo.

4. **Preparing a Written Action Plan to Address Vulnerabilities.** This includes mechanisms to record identified weaknesses, who is responsible for addressing the issues, and due dates. Reporting results to appropriate company officials and employees on completed follow up and changes is also essential.

5. **Documenting the Procedure for How Risk Assessments are Conducted**, to include Reviewing and Revising the Procedure Periodically. The process itself should be reviewed and updated as needed at least annually, and a Risk Assessment should be conducted — and documented — at least annually, more frequently for highway carriers and high-risk supply chains.

Definition of Terms

The definition of terms below is intended as a guide when examining the roles of business partner involved in our supply chain.

Instruments of International Traffic (IIT): Containers, trailers, flatbeds, unit load devices (ULDs), lift vans, cargo vans, shipping tanks, bins, skids, pallets, caul

Risk Assessment.jpg

Risk Assessment - Question # 8

Risk Assessment.jpg

Business Partner Requirements - Question # 13

Security Criteria.jpg

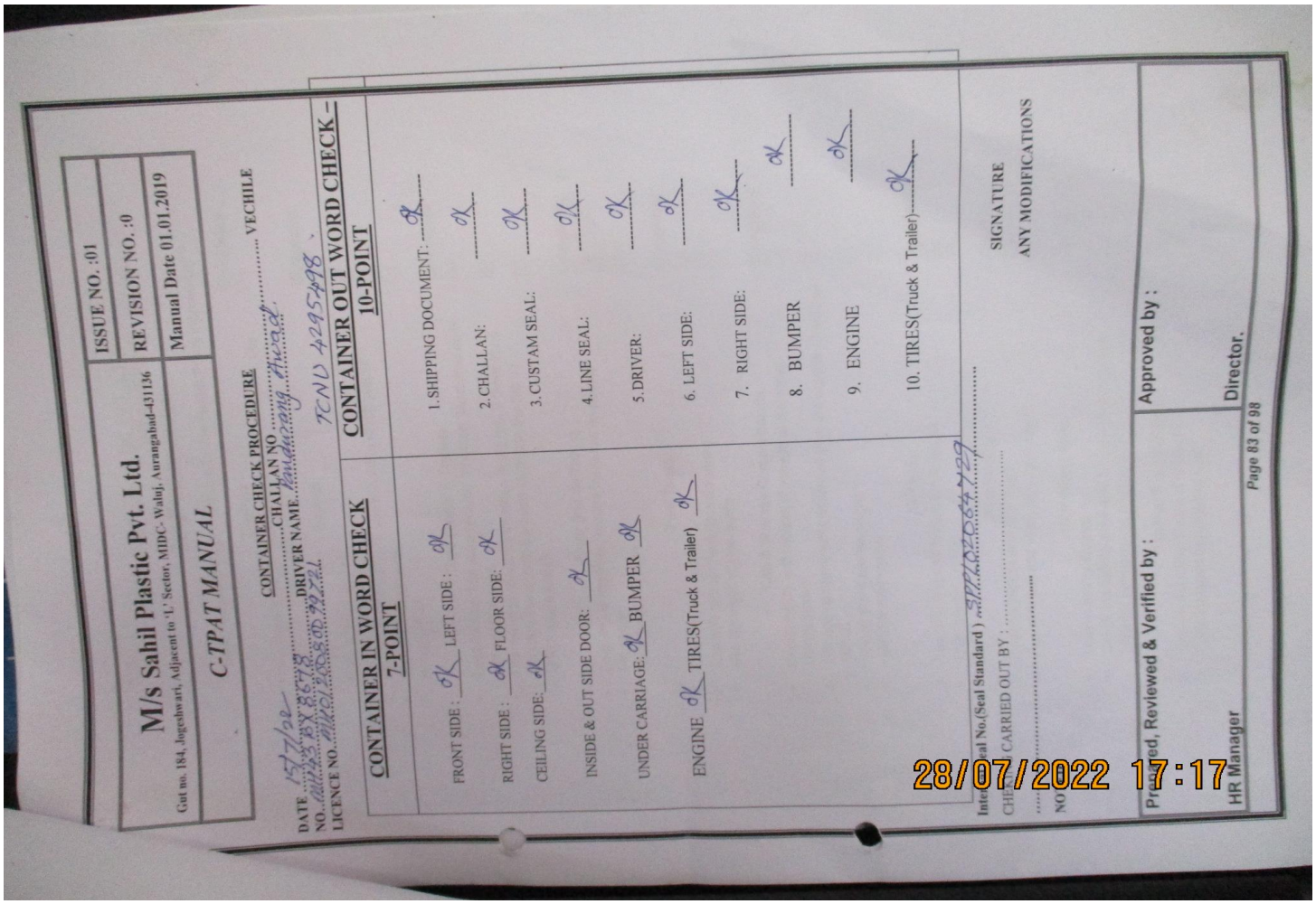
Business Partner Requirements - Question # 14

Business Partner Selection Procedure.jpg

Conveyances and Instruments of International Traffic - Question # 37

Container inspcetion procedure.jpg

Conveyances and Instruments of International Traffic - Question # 38



Container inspection checklist.jpg

Conveyances and Instruments of International Traffic - Question # 39

Container inspection photo.jpg

Conveyances and Instruments of International Traffic - Question # 40

Instruments for container inspection.jpg

Conveyances and Instruments of International Traffic - Question # 58

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Less – than Truck Load (LTL)

- LTL carriers must use a high security padlock or similarly appropriate locking device when picking up local freight in an international LTL environment.
- After the freight from the pickup and delivery run is sorted, consolidated and loaded onto a line haul carrier destined to the cross the border into the U.S., the trailer must be sealed with a highsecurity seal which meets or exceeds the current PAS ISO 17712 standard for high security seals.

Seal Control Responsibility Person: Director

SEAL CONTROL PROCEDURE

1. Scope

This document establishes the recommended procedures for affixing high Security mechanical seals to cargo loaded trucks for Customs-Trade Partnership Against Terrorism (C-TPAT).

2. Procedure

This Procedure stipulates how seals are controlled and affixed to loaded cargo trucks. Only designated employees will distribute seals for integrity purposes. All seals will meet or exceed the current ISO/PAS 17712 standards for high security seals.

Seal Application and Accountability

These standards minimize losses from theft and pilferage of cargo.

Seal Acquisition

High Security seals will be ordered and purchased from the manufacturer bya designated person. Seals will be safeguarded in a secure area at a secure location.

Seal Control

Only authorized personnel will issue seals for use. All seals and security devices will be kept under lock and key or in a combination locked file. A Seal Distribution process should be documented and maintained by the shipping department. To facilitate strict accountability of seals, a Seal Log is used to document seal issuance and receipt log. Seal log is maintained in thisrespect.

Seal Control Procedure.jpg

Seal Security - Question # 65

Seal Test Report.jpg

Procedural Security - Question # 69

Sahil

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Sahil

PROCEDURE FOR CHALLENGING AND REPORTING UNIDENTIFIED PERSONS

- If any unauthorized persons found inside the facility i.e., without our factory Identity Card or our official Visitor Pass/ID moving around the facility, immediately the employees have to report to the security, to take further action.

- Especially in packing section/loading area / un-loading area if any un-authorized persons found immediately information to be given to the security and there upon appropriate enquiry will be initiated.

- In case of any theft or illegal activities or un-authorized access, the employees have to inform to the security and there upon appropriate enquiry will be conducted and necessary action will be initiated at the hands of local enforcement.

- The management will encourage for all employees to participate in maintaining the security of the facility.

PROCEDURE FOR- RESTRICTED AREA

Scope: Un-authorized Access

- A system is established to have access control determining who can enter the area in the designated restricted area or sensitive area.

- Authorized employees are allowed in packing section, Cargo loading & unloading, finished goods storage area / Warehouse, IT Server room, shipping documents room.

- The authorized person's name and photo are displayed in the respective in the respective restricted areas.

- Green color identity card is being issued to all employees in order to identify them distinctively.

- In order to perform their duties, the concerned authorized persons will only be admissible to the respective sections.

- In restricted area, security guard(s) checks the employees ID to monitor access to these areas.

- If any employees other than authorized person, any third party like buying house QC, Auditors, third party agencies, etc coming for inspection/ services, they have to make an entry in the registers kept by the security in packing & finished goods storage area.

- If anyone found inside the facility without proper identity or un-authorized person, immediately employees have to inform to Security Guard and HR Department.

Procedure to report unauthorised access.jpg

Procedural Security - Question # 70

Women Helpline	1098
Director -	9820710317
Manager HR –	9873006606
Hospital –	02402244770
Security –	23

INTERNAL SECURITY MEASURES

GROUNDS:

a. The factory is surrounded by boundary wall with fencing on it to avoid the Trespassing. The factory is under watch of security guard as well as **CCTV.**

b. All the visitor's movement are restricted to visitor's area only, nobody is allowed after the working hours of the company, all the movements are closely watched and monitored by the security officer through the CCTV cameras placed at the different places of the premises.

c. All outside Gates/doors are properly locked in the presence of security officer/authorized Person at the season of working hours andalso open in the presence of authorized person/security officer of the company.

d. Entry and time of opening/closing of any gate/door to be endorsed in the register meant for the purpose by the authorized person/security officer of the company.

e. After closing of all gate's/door's keys are to be hanged in the keyboard under the custody of an authorized person. After working hours all outer gates of the building locks are sealed.

f. Any Lock, Fence, Perimeter found broken during the daily routine check by the security guard on duty during the night shift or by the security Asst. or by any other employees, the matter must bring in the notice of chief security office for further investigation, if any suspicious ofintrusion or any foul play, the local Police must be called by the guard on duty and also inform the chief security officer for initiating further action he deemed fit.

EMPLOYEE / VISITOR PARKING

A separate parking area with proper identification is provided for employees as well as visitors to park their vehicles in the respective areas.

- Visitor's vehicles are not allowed inside the facility and separate parking provision is given outside the facility.
- Employees are provided a separate parking area for parking their vehicles.
- Private Vehicles of the visitors will not be permitted inside the premises and it should be ensured that it is parked outside the premises.
- Unauthorized persons Vehicles not allowed inside the factory premises.

BUILDING:

External and internal doors of the factory have been fitted with adequate

Procedure to limit access.jpg

Procedural Security - Question # 71

5.0 Conveyance and instruments of International Traffic Security

Smuggling schemes often involve the modification of conveyances and instruments of International Traffic (IIT), or the hiding of contraband inside IIT. This criteria category covers security measures designed to prevent, detect, and/or deter the altering of IIT structures or surreptitious entry into them, which could allow the introduction of unauthorized material or persons.

All Containers/trucks and Vehicles are visually inspected upon their arrival at Company.

Cargo/Trucks, also known as Conveyances and Instruments of International Traffic (IIT) must be stored in a secure area to prevent unauthorized personnel.

Truck/Container arrival Policy

Documentation processing at Company is done by the shipping department under the control of Shipping Manager. All documentation for clearing a Cargo has to pass through a systemized process and information is passed to the receiving end through a by authorized courier in case any documentsis needs to be sent in original or required by the buyers. And information for the same passed to the authorized agents through phone. The system and the software used for passing the information fully protected fromunauthorized access. All purchase orders are received through the company's computer. Purchase orders are confirmed and a detailed invoice is created. Company maintains a copy of all purchase orders, invoices, Customs forms, transportation slips, shipment releases and email confirmations relating to each shipment. All paperwork is checked for accuracy, legibility, completeness and timeliness. Documentation for each shipment includes, item number, piece count, box dimensions, weight, quantity, driver number, truck number, customer, invoice, date, value of goods, departure time, arrival time, company stamp, signature of the company's shipping supervisor, signature of the driver transporting the goodsand the person accompanying the driver. The Shipping Manager is responsible for maintaining accurate records and appropriate documents insupport of all loaded and unloaded goods. The Supervisor ensures all information is legible, complete, accurate, timely and protected against theloss of information.

Trucks/container/Conveyance vehicles Inspection

The physical integrity of the truck structure must be verified prior to entering into premises, to include the reliability of the locking mechanisms of the doors. **A seven-point inspection** process is required or all trucks: The separate checklist to be use on this purpose with below checkpoints.

1. Outside / Undercarriage

Procedure for shipping documents.jpg

Procedural Security - Question # 72

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forthat and without his permission nobody can change it.

As per buyer's purchase order we prepare invoice containing the details such as, product style no, description of product, qty, unit price, currency, mode of shipment, port of discharge, final destination and terms of shipmenteto. we also prepare packing list with the details gross weight, net weight, total qty and volume weight etc. All vehicles used for incoming / outgoing consignment; vehicle driver's identification (Driving license etc) is properly checked before allowed the vehicle entering into the premises. Upon arriving the factory, all drivers must enter through the guard room gated area. Guards verify the driver license number and truck number. The driver parks the truck at the dock and waits in the truck cab. A supervisor monitors the loading process. In the case of a consolidation, goods are covered and tied down with a tarp and transported via open truck to the port for consolidation. The security guard at the gate re-verifies the details of the outgoing shipment and annotates its departure time.

Cargo Discrepancies & Reporting System for Cargo Discrepancies
All shortages, overages, and other significant discrepancies or anomalies must be resolved and investigated appropriately. Customs and/ other appropriate law enforcement agencies must be notified if illegal or suspicious activities are deducted – as appropriate. System for reporting cases in which unauthorized personnel, un-manifested materials, or signs of tampering are discovered.

"In case of any shortage/ overage information should goes to concern, Director and may resolve at the end of production centre or get approval from buyer".

There is also a notice that indicates designated personnel to be notified in the case of anomalies or suspicious activities. In case any cargo discrepancies/ anomalies reported by any buyer, are to be dealt very seriously, promptly and the proper investigation must be carried out, and if required appropriate action to be take result of the investigation positively reported to the concerned. If required necessary steps to be taken so that such things not to be happen in future.

PROCEDURES FOR REPORTING SHORTAGES, OVERAGES AND LOSSES
Purpose: To ensure the smooth functioning and to avoid shortages / overages / losses of related items.

1. Loaded in the presence of Security guard, Packing Incharge or/ and Factory Manager after thorough inspection of cartons box numbers and with the relevant check list.

2. During this process, if any significant discrepancies, any shortages or overages found, a detailed & thorough investigation will be carried out by the Security guard, Packing Incharge or/ and Factory Manager

Procedure for shortage and overages.jpg

Procedural Security - Question # 73

Weight and quantity on shipping document.jpg

Procedural Security - Question # 74

Procedure to restrict access to shipping documents.jpg

Procedural Security - Question # 78

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PROCEDURE

The list of employees and their access privileges are prepared and it is approved by the HR Manager.

From this list, the employees who are having privileges to access to the shipping and cargo data and security seal are identified.

These employees who has privileges to access to the shipping and cargo data and security seal are listed with their photo identities are provided.

They have to wear their ID card provided by the company.

If any employee leaves from the company or terminated or any new employees are appointed for working in shipping and cargo data storage area and security seal, the access privileges list are updated and approved by the HR Manager.

SECURITY POLICY & PROCEDURE FOR INVESTIGATING WHEN CARGO ARRIVES DAMAGED/MISSING/OVER ETC: -

- The finished goods movement from the facility till reaches to the port, the security supervisor has to monitor the movements of the vehicle.
- The security supervisor has to monitor the container, in each point and frequently ensure that the vehicle and goods are reaching safely and timely.
- In each point the driver on authorized person has to communicate, or the security supervisor/ factory manager has to communicate, the vehicle has reached in timely and safely.

- In – case, if the materials/ cartons boxes, damaged/ shortage/ overage, then immediately, the driver should to inform to the security supervisor/ factory manager & the management will take necessary steps immediately.

- The General Manager/ security head and the shipping manager will investigate the incident of damage/ shortage/overages of materials/ carton boxes, verify the details with the packing department and dispatch department and make assessment of the incident and report to the management for further action. The management then reviews the case and if the finding is reasonable then authorizes to the shipping department head to make the necessary changes in the documents. Such incidents should be reported to local office of the customer. If the matter is of serious nature, it should be reported to law Enforcement Authorities and action should be taken against the culprit.

- The management will take necessary steps & ensure that the same incident will not be repeated in future. Such incidents should be recorded in the register/ file maintained for this purpose.

Procedure to notify illegal shipment.jpg

Procedural Security - Question # 79

Access control procedure.jpg

Procedural Security - Question # 80

Procedure to notify attempted theft.jpg

Procedural Security - Question # 82

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TERMINATION PROCEDURE

1. SCOPE

The scope of the termination is to immediately terminate existing physical access when an individual terminates employment or transfer of another position.

2. RESPONSIBILITY

HR Manager/ Director is responsible to terminate or transfer of employment toanother position or unit.

3. PROCEDURES

1. Subject to the provisions of the law applicable to the establishment, the employment of any permanent employee may be terminated or transferred on any reasonable cause.

2. The reasons for the termination or transfer of service shall be recorded in writing and shall be communicated to the respective employee at the time of termination or transfer.

3. Resignation by the employee shall not take effect unless it is accepted by the management.

4. The employment of any permanent employee may also be terminated or transferred for causes as listed below by giving written notice in lieu thereof. This list is however not exhaustive:

• Employees' may be transferred according to exigencies of work from one job to another or one place to another or from one department to another or one branch to another branch.

• If the person terminated or transferred, the concerned employee must hand over all the documents, company's ID card, keys and other company's property before he leaves the premises.

• The HR Department Personnel must collect and disable of the terminated / resigned / Transfer or employees identification, access keys and cards.

• The security and / or management are informed of employees who resigned / terminated / transferred.

• The management will provide orientation training to the employees according, to their related jobs.

Removal of access procedure.jpg

Physical Security - Question # 90

Facility main entrance.jpg

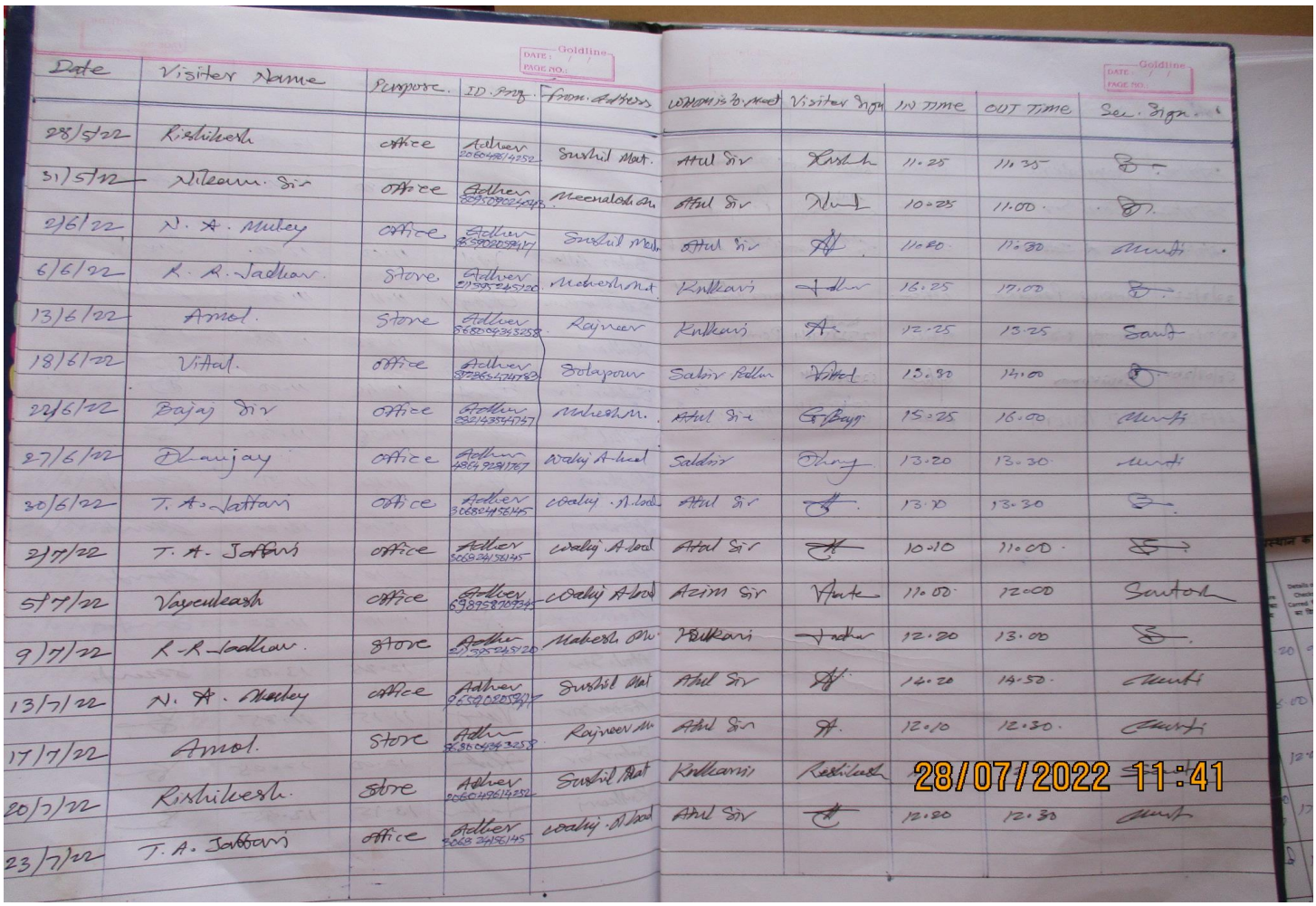
Physical Security - Question # 94

Procedure governing security technology.jpg

Physical Security - Question # 99

Picture of CCTV monitoring.jpg

Physical Security - Question # 106



Visitor access control.jpg