SECURITY AUDIT REPORT

Performance Overview

Audit Details

BV Ref:	[redacted]
Auditor:	[redacted]
Audit Date:	[redacted]
Date of Previous Audit:	NIL
Previous Audit #:	NIL
Vendor Name:	[redacted]
Factory Name:	[redacted]
Address:	[redacted]
E-Mail Address:	[redacted]
Tel:	[redacted] Fax: [redacted]
Country:	[redacted]
Audit Type:	SECURITY AUDIT
Audit Standard:	SECURITY PAS SCORECARD_VERSION 3.0_ [redacted]
Product Category:	[redacted]

Key Personnel

Name	Job Title	Present at Audit (please tick 'X' below)			
		Opening Meeting	On-site Audit	Documentation Review	Closing Meeting
[redacted]	Production manager	X	X	X	X
[redacted]	Office manager	X	X	X	X

Audit Results

Total Compliance Level to Standard	Non Conformance(s)			Risk Level for Supply	Recommended Follow-up Frequency
	Critical(s)	Major(s)	Minor(s)		
90.24 %	3	4	8	RED	1 MONTH FOLLOW UP

Company Profile

This was a security audit to [redacted], which was located at [redacted]

The factory was established on [redacted] and specialized in the manufacturing of plastic bags. The main production activities included mixing, blowing, printing, inspection and packing. The production capacity was [redacted] per month. According to factory management, the factory provided [redacted]% of the product for this client. The major clients were not provided. Furthermore, the peak season in the factory was not obvious.

The factory consists of one 1-storey building used as office, workshops and warehouse, one 1-storey building used as workshop and warehouse, two 1-storey buildings used as workshop, 1-storey building used as warehouse, 1-storey building used as canteen, no dormitory provided, with a total construction area of [redacted] square meters.

The factory had [redacted] employees ([redacted] males and [redacted] females), including [redacted] production employees and [redacted] non-production employees and most of the employees were present on the audit day.

The factory uses a manual system to record the working hours of employees. The production workshop operates 2 shift, the office working hours are from 07:30 to 17:00 with a lunch break from 11:30 to 13:00. Workshops operates with two shift: 07:00-19:00, 19:00-07:00.

There were total [redacted] security guards ran [redacted] shifts (8:00 to 16:00, 16:00 to 24:00, 0:00-08:00) for 24 hours a day and 7 days a week in the facility. [redacted] CCTV cameras were installed in the factory.

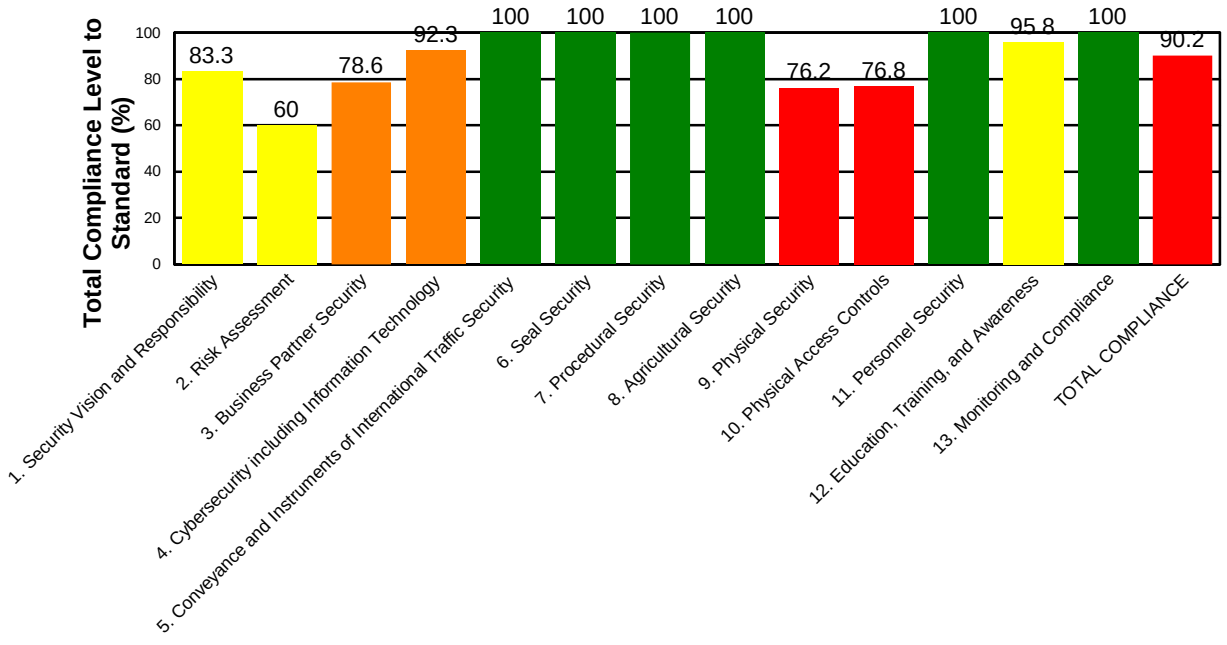
There was no any workshop was denied access or not allowed to visit, or not in operation on the day of audit.

The product liability insurance and product recall insurance were not purchased by the factory.

At the end of the audit, the auditor had a closing meeting with factory management to explain all findings except for the worker interview information were discussed. The factory management signed on the corrective action report and said that they would correct all the noncompliance as soon as possible. A copy of the report was left at the factory.

Analysis of Site Compliance

Sectional Audit Score Overview



Section

NB: Total Compliance Color reflects "Risk level for supply"

Degree of compliance Overview (per section)

Section	Green	Yellow	Orange	Red	N/A	
1. Security Vision and Responsibility	3 (75.00%)	1 (25.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	4
2. Risk Assessment	2 (50.00%)	2 (50.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	4
3. Business Partner Security	5 (71.43%)	1 (14.29%)	1 (14.29%)	0 (0.00%)	0 (0.00%)	7
4. Cybersecurity including Information Technology	19 (90.48%)	1 (4.76%)	1 (4.76%)	0 (0.00%)	0 (0.00%)	21
5. Conveyance and Instruments of International Traffic Security	18 (100.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	18
6. Seal Security	13 (100.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	13
7. Procedural Security	18 (100.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	18
8. Agricultural Security	3 (100.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	3
9. Physical Security	15 (78.95%)	2 (10.53%)	0 (0.00%)	2 (10.53%)	0 (0.00%)	19
10. Physical Access Controls	12 (80.00%)	0 (0.00%)	2 (13.33%)	1 (6.67%)	0 (0.00%)	15
11. Personnel Security	8 (100.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	8
12. Education, Training, and Awareness	12 (92.31%)	1 (7.69%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	13
13. Monitoring and Compliance	2 (100.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	2
OVERALL	**130 (89.66%)**	**8 (5.52%)**	**4 (2.76%)**	**3 (2.07%)**	**0 (0.00%)**	**145 (100%)**

Audit Findings Summary

Critical Non-conformance Section

Clause No.	Clause Requirement	Levels of Non- Conformance	Audit Findings
9	**Physical Security**		
9.1	All cargo handling and storage facilities, including trailer yards and offices have physical barriers and/or deterrents that prevent unauthorized access. (I, O, D)	Critical (RED)	It was noted that the blowing workshop, bag making workshop and packing workshop were in one area without segregation.
9.19	If cameras are being used, factory maintains recordings of footage covering key import/ export processes at least 60 days. (I, D)	Critical (RED)	It was noted that the recording of CCTV in the factory only kept for 3 days.
10	**Physical Access Controls**		
10.5	Visitors, vendors, and service providers are required to present photo identification upon arrival, and a log is maintained that records the details of the visit. (I,O,D)	Critical (RED)	It was noted that no photo identification was required when auditor entered the factory.

Audit Findings Summary

Clause No.	Clause Requirement	Levels of Non- Conformance	Audit Findings
1	**Security Vision and Responsibility**		
1.1	Facility demonstrates its commitment to supply chain security and the security program through a statement of support, which is signed by a senior company official and displayed in appropriate company locations. (I,O,D)	Minor (YELLOW)	It was noted that the factory has senior manager who mainly in charge of supply chain security. However, no statement regarding to commitment for supply chain security was posted in any locations in the factory.
2	**Risk Assessment**		
2.2	The international portion of the risk assessment documents or maps the movement of the facility s cargo throughout its supply chain from the point of origin to the importer s distribution center. (I, D)	Minor (YELLOW)	It was noted that the factory conduct the risk assessment once per a year. However, no international portion of the risk assessment or the map of the movement of the facility's cargo included in the risk assessment.
2.3	Facility has written procedures in place that address crisis management, business continuity, security recovery plans and business resumption. (D)	Minor (YELLOW)	It was noted that the no written procedures in place regarding to crisis management, business continuity, security recovery plans and business resumption in the factory.
3	**Business Partner Security**		
3.1	Facility has a written, risk-based process for screening new business partners and for monitoring current partners. A factor that facility should include in this process is checking on activity related to money laundering and terrorist funding. (D)	Major (ORANGE)	It was noted that the factory has a written, risk-based process for screening new business partners and monitoring current partners. However, money laundering and terrorist funding checking factors were not included in the process.
3.7	Facility has a documented social compliance program in place that at a minimum to not use forced labor or child labor, includes it as one standard for screening new business partners and for monitoring current partners. (I,O,D)	Minor (YELLOW)	It was noted that no document social compliance program in place that at minimum to not use forced labor or child labor for factory's screening new business partners and monitoring exist partners.
4	**Cybersecurity including Information Technology**		
4.3	Facility has policies and procedures to prevent attacks via social engineering. (I,D)	Major (ORANGE)	It was noted that the facility does not have policies and procedures to prevent attacks via social engineering.
4.6	Cybersecurity policies or procedures include how to share information on cybersecurity threats with the government and other business partners. (I,D)	Minor (YELLOW)	It was noted that the factory has cybersecurity policies and procedures. However, not including how to share information on cybersecurity threats with the government and other business partners.
9	**Physical Security**		
9.7	Facility has adequate lighting inside and outside the facility including, as appropriate, the following areas: entrances and exits, cargo handling and storage areas, fence	Minor (YELLOW)	It was noted that no lighting facility was installed for factory's perimeter.

	lines and parking areas. (I, O, D)		
9.15	If camera systems are deployed, cameras monitors a facility s premises and sensitive areas to deter unauthorized access. Alarms should be used to alert a facility to unauthorized access into sensitive areas. (I, O D)	Minor (YELLOW)	It was noted that the factory installed the CCTV systems all over the place including premises and sensitive areas. However, no alarms installed in anywhere of the factory.
10	**Physical Access Controls**		
10.2	A personnel identification system such as employee identification badge with photo must be in place for positive identification and access control purposes. (I,O,D)	Major (ORANGE)	It was noted that 1 employee in packing workshop was not wearing employee ID.
10.8	The registration log for Visitors, vendors, and service providers includes the following: Date of the visit, Visitor s name, Verification of photo identification, Time of arrival, Company point of contact, Time of departure. (I,D)	Major (ORANGE)	It was noted that no verification of photo identification, company point of contact included on the registration log.
12	**Education, Training, and Awareness**		
12.7	Specialized training is provided annually to personnel who may be able to identify the warning indicators of Trade Based Money Laundering and Terrorism Financing. (I, D)	Minor (YELLOW)	It was noted that no training was provided regarding to money laundering and terrorist funding.