



BABYLON GARMENTS LTD

2-B/1, Darussalam Road, Mirpur, Dhaka, Dhaka, Bangladesh 1216 880-2-8023495 / 9023495-6

SCAN SECURITY AUDIT (ONSITE)

Report #	EAC-2023-02-0011-V1
Audit Submitted	Feb 02, 2023
Compliance Score	92%
Audit Type	EXTERNAL AUDIT



This Report Applies Solely for SCAN - Supplier Compliance Audit Network

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Location Information

BABYLON GARMENTS LTD

2-B/1, Darussalam Road, Mirpur, Dhaka, Dhaka, Bangladesh 1216 880-2-8023495 / 9023495-6


SCAN ID	BD94HC7297BA
Point of Contact Name	Kazi Mainul Hossain
Point of Contact Email	mamunhrd@babylon-bd.com,arifhrd@babylon-bd.com,mahmudhrd@babylon-bd.com
Target Month	<i>Not provided</i>
Location	BABYLON GARMENTS LTD
Primary Location	Yes
Critical Location	No
Assigned Auditor	Omega
Schedule Date	Jan 26, 2023

Audit Summary

Pre-CAPA


Audit Submitted

Feb 02, 2023

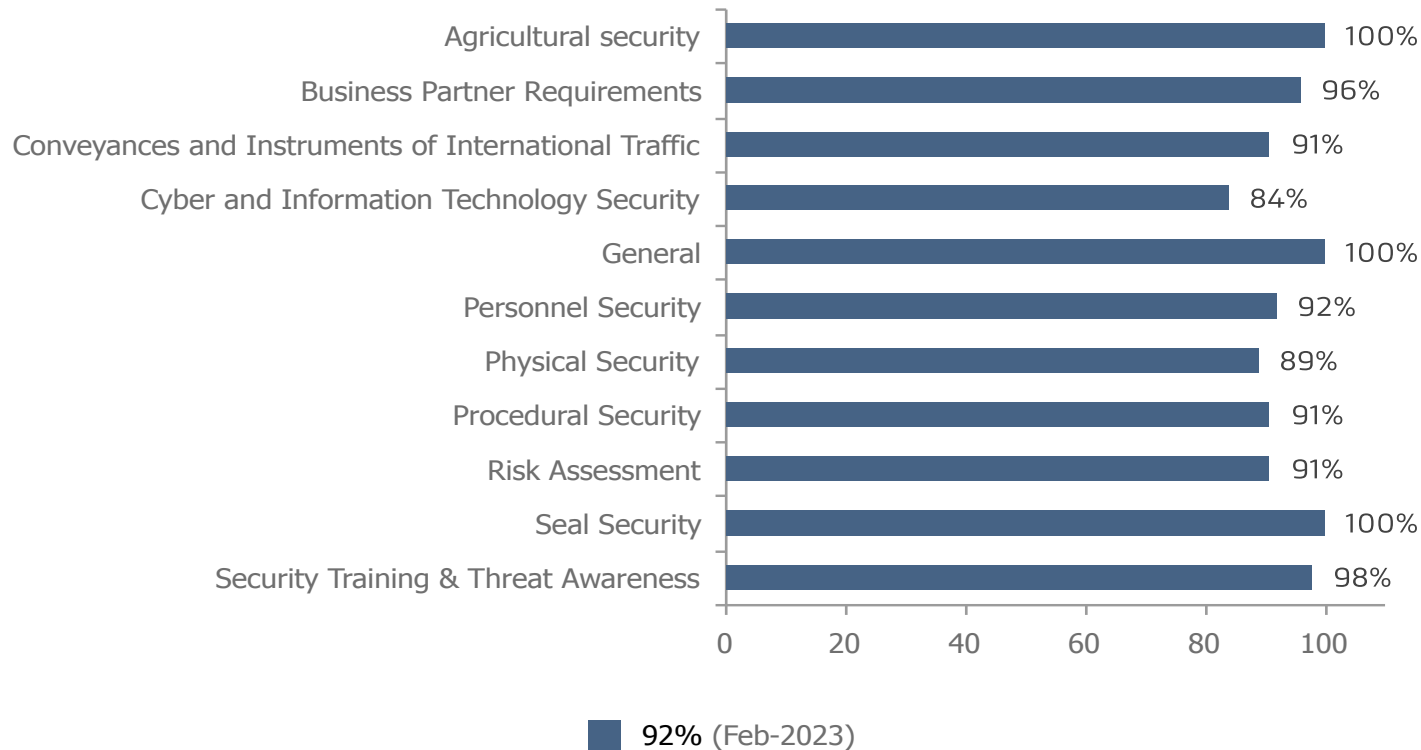


Compliance Score Pre-CAPA

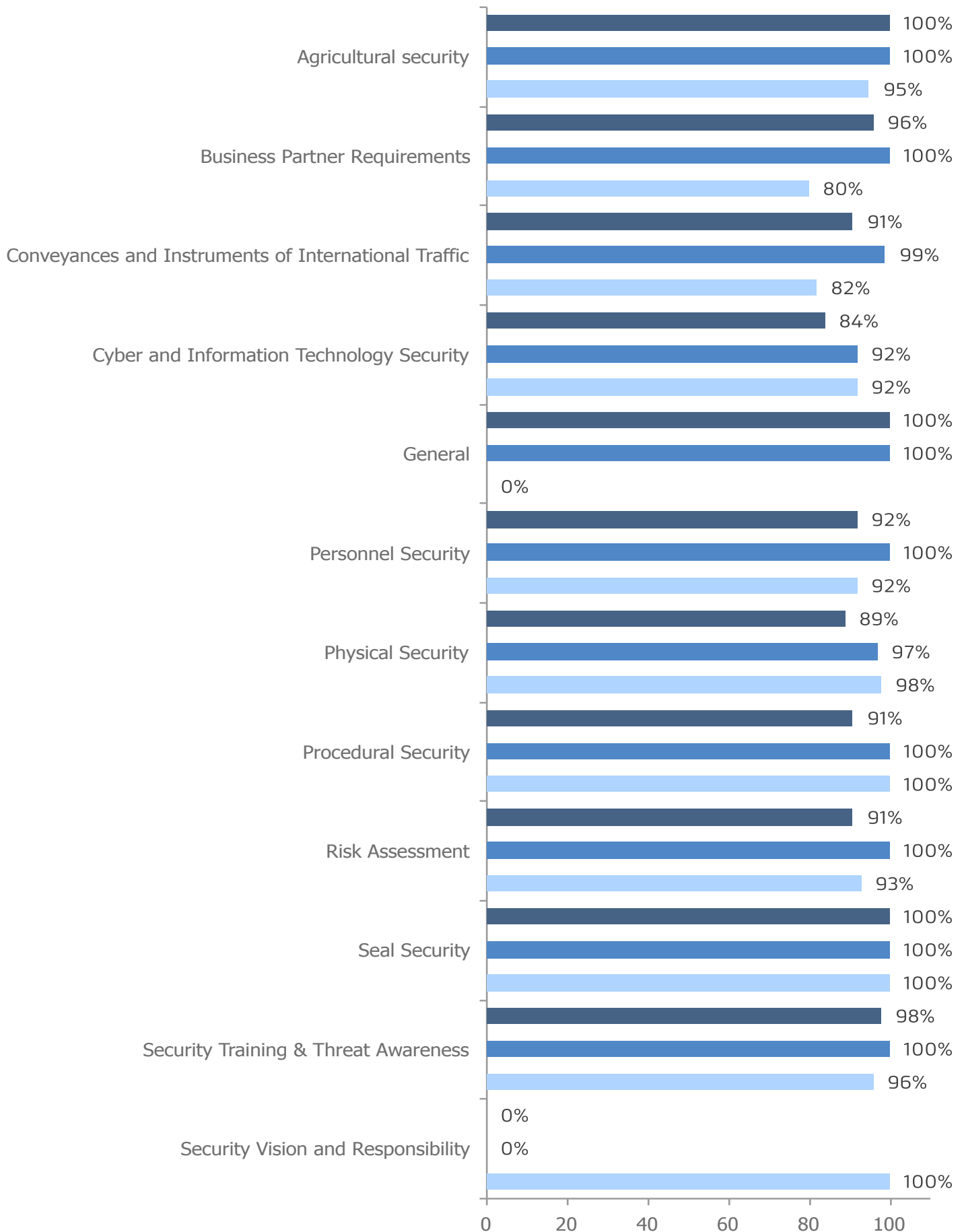
92%



Compliance by Category



Compliance by Category - Last 3 Audits



■ 92% (Feb-2023) ■ 98% (Feb-2022) ■ 93% (Mar-2021)

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?	No
Has the facility been reviewed or audited by this program?	Yes
Primary Industry of Operations	Apparels
Product Type / Commodity	Woven tops
Year Established	1986
Grounds Size (Square Meters)	4014
Number of Buildings	5
Facility Size (Square Meters)	19465
Number of access points? (i.e. gates, exterior doors)	2
Hours of Operation	8:00 am to 5:00 pm; 8:00 pm to 5:00 am (Only Finishing Section)
Number of Employees	greater than 500
Number of Contract Employees	0
Number of Security Guards	42
Number of Migrant Workers	0
Annual Revenue	50 - 100 Million
Does the facility outsource any manufacturing services?	Yes

Company Name	Contact Email	Contact Email	Percentage of time
Juniper Embroideries Ltd.	Md. Sharif Tanik Arefin	tanikbtlhrd@babylonbd.com	100
Babylon Printers Ltd.	Md. Sharif Tanik Arefin	tanikbtlhrd@babylonbd.com	100
Babylon Washing Ltd.	Md. Julfikar Ali	julfikar@babylon-bd.com	100

What countries does this facility export to? USA, UK, Australia, Japan

Does this facility have affiliate locations where any work is conducted or product stored?

No

Does the facility outsource any transportation services?

Yes

Company Name	Contact Email	Contact Email	Percentage of time
Babylon Logistics Limited	Mr. Shafiqul Islam Sobuj	shabuj@babylonbd.com	100

Does this facility partner with any sales agent or vendor representatives?

No

Enter location address as it appears on the business license for this location.

2-B/1, Darussalam Road, Mirpur

Name of Auditor Completing this Audit (First and Last Name)

Iftykher Chowdhury

Auditor Certification #

230725-211740

Name of onsite Factory Representative (First and Last Name) and email address

Kaszi Hossain - mamunhrd@babylon-bd.com

Audit Responses

Audit Assigned

Dec 14, 2022



Due Date

Jan 29, 2023



Overall Compliance Score

92%

General

100%

- 1 **None** Does the business license match the current location name and address as listed on the audit sheet?
- ☒ Yes
- ☐ No
- Comments:** *No comments were provided*
- 2 **Must** Is there a primary point of contact (POC) identified regarding security matters?
- ☒ Yes
- ☐ No
- Comments:** *No comments were provided*
- 3 **None** Did the facility provide previous SCAN audit CAPAs to the auditor in preparation of this audit?
- ☒ Yes
- ☐ No
- ☐ NA
- Comments:** *No comments were provided*
- 4 **None** During the current audit, were all previous CAPAs found to have been appropriately addressed/ mitigated as per the CAPA instructions provided?
- ☐ Yes
- ☒ No
- ☐ NA
- Comments:** There were 5 CAPAs in previous audit out of which 4 have been corrected and 1 are still not. Both corrected and not-corrected CAPAs are mentioned below in relevant questions.
- 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

Comments: Completed Date: 12/26/2022

Certificate number: 232553-256140



Risk Assessment

91%

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

☒ Yes

☐ No

Comments: No comments were provided

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

☒ Yes

☐ No

Comments: No comments were provided

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

☐ Yes

☒ No

Comments: Facility has a risk assessment; however the risk assessment does not include vulnerabilities specific to contracted service providers.

9 **Must** Is the facility risk assessment updated periodically?

☒ Last update within the past 12 months

☐ Last update between 12 months and 18 months

☐ Last update between 18 months and 24 months

☐ No updates noted or last update greater than 24 months ago

Comments: Last risk assessment carried out on 02/08/2022.

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

☒ A written cargo process map is available

☒ The cargo process map includes transit times from origin to final container yard

☒ The cargo process map includes locations where freight may be at rest

☐ No written cargo process map is available

☐ NA

Comments: No comments were provided

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

- ☒ Documented crisis plan available
- ☒ Crisis plan includes reporting crisis-related issues to business partners as necessary
- ☒ Crisis plan includes alternative locations if facility is rendered unusable
- ☐ No documented crisis plan available

Comments: *No comments were provided*

Business Partner Requirements

96%

- 12 None Does the facility contract services such as security, transportation or manufacturing labor?
- ☒ Yes
- ☐ No

Comments: *No comments were provided*

- 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 reviewed and provided in English only.
- ☐ Yes - Security criteria is reviewed but not provided to business partners
- ☐ No - Security criteria is not reviewed at all

Comments: *No comments were provided*

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

Comments: The facility has a written business partners selection procedure. However, the procedure does not include screening for money laundering & terrorism funding.

- 15 Must Are the facility's contracted business partners required to conduct an annual security risk assessment of their operation?
- ☒ Yes - Annually
- ☐ Yes - every 2 years
- ☐ Yes - At time of contract initiation only
- ☐ No

Comments: Last two assessments carried out on October 09, 2022 & December 08, 2021, respectively.

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)

- ☒ Compliance Statement and/or Security Questionnaire required
- ☒ Renewed annually
- ☐ No

Comments: Last review date December 12, 2022

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: No comments were provided

Cyber and Information Technology Security

84%

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: Last two policy review dates are August 28, 2022 & August 29, 2021.

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

- ☒ Firewall deployed
- ☒ Anti-malware software installed
- ☐ No firewall or anti-malware software deployed
- ☐ NA

Comments: Firewall: Windows

AntiVirus: Eset

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

- ☒ 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: Softwares are updated automatically.

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

☒ Vulnerability tests are conducted by IT personnel

☐ No vulnerability tests are conducted

☐ NA

Comments: *No comments were provided*

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

No options available

Comments: The facility has blocked all the free ports, which helps in preventing network vulnerabilities.

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

☒ Government agencies

☐ No reporting process and procedure in place

☐ NA

Comments: Facility has developed a policy to inform External business partners, customers/ suppliers and government agencies regarding cybersecurity threats and attempts at unapproved access to network systems.

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

☒ Yes

☐ No

☐ NA

Comments: *No comments were provided*

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 monthly

☐ Management reviews quarterly

☐ Management reviews annually

☐ No management review conducted

☐ NA

Comments: *No comments were provided*

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)

☒ Access immediately removed for terminated employees

☒ Employees on long term disability or maternity leave have access suspended

☐ No written procedure is available

☐ NA

Comments: *No comments were provided*

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

☒ Passwords are required

☒ Passwords must be complex

☒ Passwords are changed periodically.

☐ No passwords are required

☐ NA

Comments: Passwords are changed every 30 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 access

☐ Remote access is not permitted

Comments: Name of VPN is "FortiClient"

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: Though facility has a written policy which does not permit personal devices to connect, however 2 out of 2 checked computer terminals has permitted to connect personal devices.

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

☐ Yes

☒ No

Comments: The IT security has not limited access to external websites for 2 sampled computer systems.

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

- ☒ Data is backed up daily
☐ Data is backed up weekly
☐ Data is backed up monthly
☐ No data back ups are performed

Comments: Data is backed up on daily basis.

32 **Material** Is the data backup stored offsite and encrypted?

- ☒ Data backup is stored offsite
☒ Data backup is encrypted
☐ Data is not stored offsite nor encrypted

Comments: No comments were provided

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

- ☒ Yes
☐ No

Comments: Facility has developed an IT disposal policy & procedure

Conveyances and Instruments of International Traffic

91%

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

- ☒ Yes
☐ No

Comments: No containers or IITs are loaded in the facility. The cargo is sent in the closed trucks to the CFS for further stuffing and shipping processes.

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
☒ Stored, loaded containers/trailers are secured with a seal
☐ Container/trailer storage does not meet minimum security requirements

Comments: No container loading takes place from this factory. Only LCL orders are processed and those are loaded into closed body trucks for taking the goods to consolidators yard. The truck is stored in a designated and secured area with security controls such as Physical fencing, gates used to control access, CCTV and Lighting. In addition, no other vehicle parked, or other storage is allowed. After loading the truck is sealed with a high-security 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:** No container loading takes place from this factory. Only LCL orders are processed and those are loaded into closed body trucks for taking the goods to consolidators yard. The factory has installed CCTV cameras.
-
- 37 **Critical** Is there a written procedure in place to inspect the security integrity of a container or trailer prior to loading?
- ☐ Yes
- ☒ No
- Comments:** No container loading takes place from this factory. The factory processes LCL orders only and they use closed body trucks for transferring the goods from factory to consolidators' yard. However factory has written procedure to inspect the trucks to ensure the integrity.
-
- 45 **None** Does the facility directly contract transportation service providers for any of their customers or business partners?
- ☒ Yes
- ☐ No
- Comments:** *No comments were provided*
-
- 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:** *No comments were provided*
-
- 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:** *No comments were provided*

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: Factory has two transit routes which randomly used during shipment

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.)

- ☒ Yes
☐ No
☐ NA

Comments: No comments were provided

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

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

Comments: No container loading takes place from this factory. The factory processes LCL orders only and they use closed body vans for transferring the goods from factory to consolidators' yard. As such, details regarding the containers are not applicable for them. The log used on LCL cargo movements recording includes other information except the container/trailer number, carrier name. The log also includes closed van number.

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

- ☒ Yes
☐ No

Comments: No comments were provided

52 **Critical** Does the written LCL security procedure exist that requires a LCL container or trailer to be sealed after each stop with either a tamper evident seal, a padlock or a high security seal?

- ☒ Yes

☐ No

[Procedure for LCL s... jpg](#)

Comments: No comments were provided

53 **None** Does the facility make air shipments?

☐ Yes

☒ No

Comments: No air shipments in past 2 years. However factory has policy on this.

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

☐ Yes

☒ No

Comments: Facility is only using closed trucks for 100% shipments.

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: No containers or IITs are loaded in the facility. The cargo is sent in the sealed trucks to the CFS for further stuffing and shipping processes. However factory has ISO 17712 certified seals which are affixed to all LCL shipments.

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

☒ Policy is written

☒ Seals are secured in storage

☒ Specific employees are listed who have access to seal storage

☐ No written policy is available

[Seal Control Policy.jpg](#)

Comments: No comments were provided

Agricultural security

100%

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

☒ Yes

☐ No

Comments: No container loading takes place from this factory. The factory processes LCL orders only and they use closed body trucks for transferring the goods from factory to consolidators' yard. However, factory has practice to remove dirt and other debris from closed body trucks exterior prior to loading and before departure from the facility is followed to prevent invasive pests and debris.

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: No comments were provided

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

☒ NA

Comments: No wood packaging material is used.

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

☐ Yes

☐ No

☒ NA

Comments: No wood packaging material is used.

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

☒ NA

Comments: No wood packaging material is used.

Seal Security

100%

64 **Critical** Are security seals stored in a secured location?

☒ Yes

☐ No

☐ NA

Comments: No containers or IITs are loaded in the facility. However, security seals stored in a secured location

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 certificate.jpg](#)

Comments: No containers or IITs are loaded in the facility. The cargo is sent in the sealed trucks to the CFS for further stuffing and shipping processes. However factory has ISO 17712 certified seals which are affixed to all LCL shipments.

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)

☒ A written procedure is available

☒ Audits are conducted

☒ Audits are documented

☐ No written procedure or practices are in place

☐ NA

Comments: No comments were provided

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

☐ VVTT process included in seal application procedure

☐ Secondary testing and validation is checked by supervisors or security guard at time of exit from the facility

☐ Seal numbers are written on shipping documents

☐ Testing procedure recorded on CCTV footage

☐ Seal numbers are communicated or otherwise transmitted to the consignee

☐ Facility is advised when seal numbers are changed prior to departure from port of origin

☒ NA

Comments: No container loading takes place in this factory. all are LCL orders run in closed body vans. However, factory applied a high security seal .

Procedural Security

91%

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

☒ Yes

☐ No

Comments: The shipping area is monitored through a CCTV camera. Temporary fencing is used to enclose the shipping area.

- 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 containers are used. Instead closed body trucks are used as the factory process only LCL shipments.

- 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

Comments: The facility had a written policy to ensure that only authorized employees are permitted access to sensitive or restricted areas. A list of employees with authorized access to restricted areas was displayed with their photos at the entrance of each restricted area. Factory also introduce biometric access control system in the packing sections. However, based on CCTV footage review it was noted that on some occasions i.e., January 05 & 12, 2022, gate was open, and no one is there to deter unauthorized access in the packing section after 20:00 hours, hence auditor foresee unauthorized access in the packing section.

- 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



[Shipping Document... 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

[Reporting Shortage... jpg](#)

Comments: *No comments were provided*

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

☒ Yes

☐ No

[Count & weight rec... jpg](#)

Comments: No comments were provided

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

- ☒ Yes
☐ No



[Shipping & receivin... 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)

- ☒ Documents are secured
☒ Pre-printed paper documents are utilized
☐ Pre-printed documents are not utilized or secured

Comments: No comments were provided

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

- ☒ Yes
☐ No
☐ NA

Comments: No comments were provided

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

- ☒ Yes
☐ No



[Commercial docum... jpg](#)

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?

- ☒ Yes
☐ No

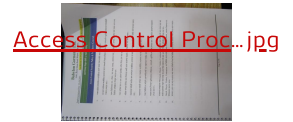
[Notification System.jpg](#)

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?

- ☒ Yes
☐ No

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?

☒ Yes

☐ No



[Notification system...](#)

Comments: No comments were provided

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

☒ Yes

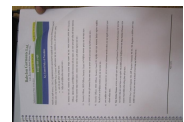
☐ No

Comments: No comments were provided

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?

☒ Yes

☐ No



[Key control procedu...](#)

Comments: No comments were provided

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

☒ Yes

☐ No

Comments: No comments were provided

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: No comments were provided

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: Paper documentation is in use.

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

☒ Yes

☐ No

Comments: Documented reviews were conducted by management of security company work instructions and policies.

Physical Security

89%

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

☒ Yes

☐ No

Comments: No comments were provided

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

☒ Yes

☐ No

Comments: Factory is 100% export oriented. Only international goods are stored in the facility.

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)

☒ Procedure is written

☒ Regular inspections are documented

☒ Preventative maintenance logs kept

☐ Nothing in place

Comments: No comments were provided

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

☒ Gates are installed at all entrances/exits

☒ Gates are monitored by guards/CCTV

☐ Nothing in place

☐ NA

Comments: No comments were provided

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?

- ☒ Interior lighting
☒ Exterior lighting
☐ Nothing in place
☐ NA

Comments: The facility has installed the sufficient interior and exterior lighting.

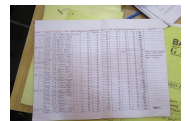
93 **None** Which of the following security technologies does the facility incorporate as part of its systems and controls? (Select all that apply)

- ☒ CCTV
☒ Access Control
☒ Security Alarm
☐ Other
☐ None

Comments: Factory installed CCTV throughout the premises including main gate, loading/unloading area, warehouses & parking areas. Packing areas are access controlled by electric access control systems. The factory has an intrusion alarm system too.

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

- ☒ Yes
☐ No
☐ NA



[Governing the use o... jpg](#)

Comments: No comments were provided

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

- ☒ Yes
☐ No

Comments: System was installed by a specialized licensed/certified 3rd party contractor.

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: No contract in place

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: No comments were provided

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)

☒ All entrance(s)

☒ All exit(s)

☒ Storage/warehouse

☒ Loading area(s)

☒ Unloading area(s)

☒ CCTV coverage in additional areas

☐ No CCTV

[CCTV control room.jpg](#)

Comments: Factory installed CCTV throughout the premises including Seals storage area, Perimeter fencing, Office where import/export documents are kept, Cargo handling area, IT server and Area for IIT storage.

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: CCTV system has no failure alarm feature.

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: No comments were provided

- 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: Recorded videos were not reviewed by management to ensure security procedure are followed accordingly.

- 104 **Critical** How many days are CCTV recordings kept?
- ☐ 90 or more days
- ☒ 45 - 89 days
- ☐ 30 - 44 days
- ☐ Less than 30 days
- ☐ Recordings not retained

Comments: Records are kept for last 47 days

- 105 **Must** Do employees display their ID badge at all times while at the facility?
- ☐ Yes
- ☒ IDs carried but not displayed
- ☐ No

Comments: At least 5 randomly checked workers were not displaying their cards but they were carrying their factory IDs in their pockets and on request they presented their 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)
- ☒ Written procedure is available
- ☒ Photo ID is required
- ☒ Visitor Log is utilized
- ☐ No written process is in place
- ☐ Photo IDs are not checked

[Visitor log.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: No comments were provided

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

- ☒ Yes
☐ No

Comments: No comments were provided

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

- ☒ Yes
☐ No

Comments: No comments were provided

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: No comments were provided

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: No hazardous materials 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)

- ☒ Policy is written
☒ Education check
☒ Reference check

☒ Previous employment check

☐ Nothing in place

☐ NA

Comments: No comments were provided

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 does not have a policy for credit check.

Security Training & Threat Awareness

98%

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

☒ Training program in place

☒ Training logs are kept to insure required personnel attend the training

☒ Management personnel randomly reviews documentation

☒ Training provided annually for all employees

☒ Training provided for new employees

☐ There is no Threat Awareness training in place

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)

- ☒ Evaluations are conducted
- ☐ Retraining is required if a successful score is not achieved
- ☐ No evaluations are conducted
- ☐ NA

Comments: The facility was carrying out evaluation of training but facility did not have any defined criteria on which basis decision of retraining is taken by the facility.

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

- ☒ Training material lists specific requirements
- ☒ Training logs list employees working in this area
- ☒ Training provided annually for existing employees with this job function
- ☒ 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?

- ☒ Training material lists specific requirements
- ☒ Training logs list employees working in this area
- ☒ Training provided annually for existing employees with this job function
- ☒ 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)

- ☒ Training includes shipping & receiving controls
- ☒ Training includes how to conduct container/trailer inspections
- ☒ Training includes container/trailer sealing practices
- ☒ 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: The facility have a documented training platform outlining the risks of Cyber security.

Misc

NA

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

No options available



Front of the factory_...jpg

Comments: The factory is situated on a multi storied city building. There is one access gate on the building, and the factory's name is displayed next to the main gate.

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

No options available



[Access gate.jpg](#)

Comments: Two security guards and a security supervisor are deployed at the main security post at the main entrance. These access points are also monitored by CCTV.

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

No options available



[Building Structure.jpg](#)

Comments: Facility building is made of concrete cement. Security guards and CCTV cameras are installed at the entrance gate.

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

No options available



[Shipping Area.jpg](#)

Comments: The factory's shipping and receiving area is located at the ground floor of the Building#1. The area is monitored by CCTV cameras and security guards.

Temporary fencing is also used during loading and unloading activities.

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

No options available



[Perimeter.jpg](#)

Comments: The facility is secured through perimeter & the perimeter are made from rock, bricks and is around 6ft with CCTV monitoring. Entire perimeter is very well lit.

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

No options available



[Final packaging sec... jpg](#)

Comments: Facility has 2 designated packing area located at 1st & 2nd floor of the main production building, packing area has restricted accesss and also provided CCTV cameras.

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

No options available

[Vehicle Parking.jpg](#)

Comments: There is no designated container storage area or visitor/employees parking facility in the factory. All vehicles were parked just out side main gate

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

☒ Yes

☐ No

[Opening Meeting Le...jpg](#)

Comments: *No comments were provided*

Attached Documentation - Photos

General - Question # 5



[Training Certificate.jpg](#)

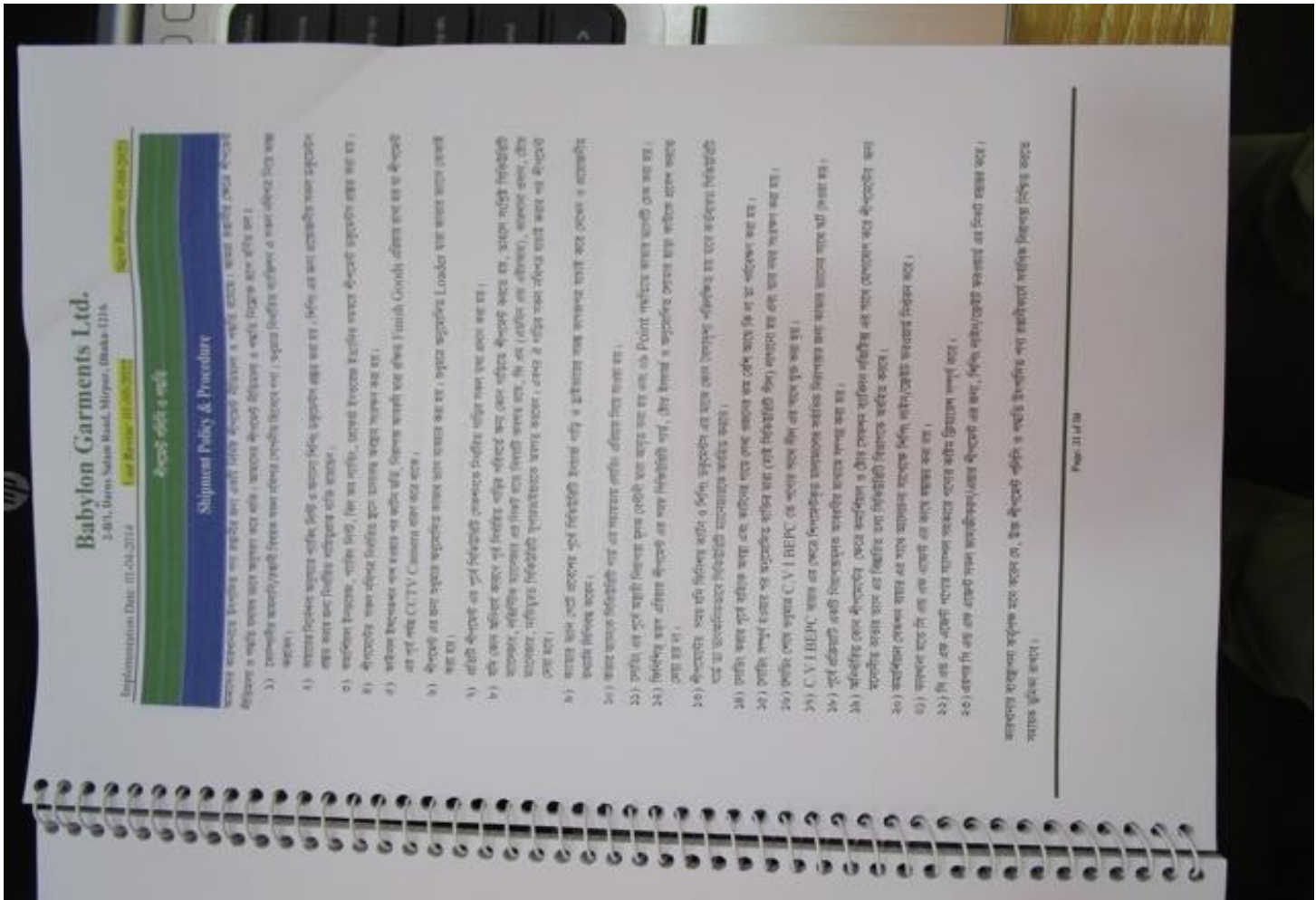
Conveyances and Instruments of International Traffic - Question # 52

[Procedure for LCL shipment.jpg](#)

Conveyances and Instruments of International Traffic - Question # 58

[Seal Control Policy.jpg](#)

Seal Security - Question # 65



[Shipping_Documentation.jpg](#)

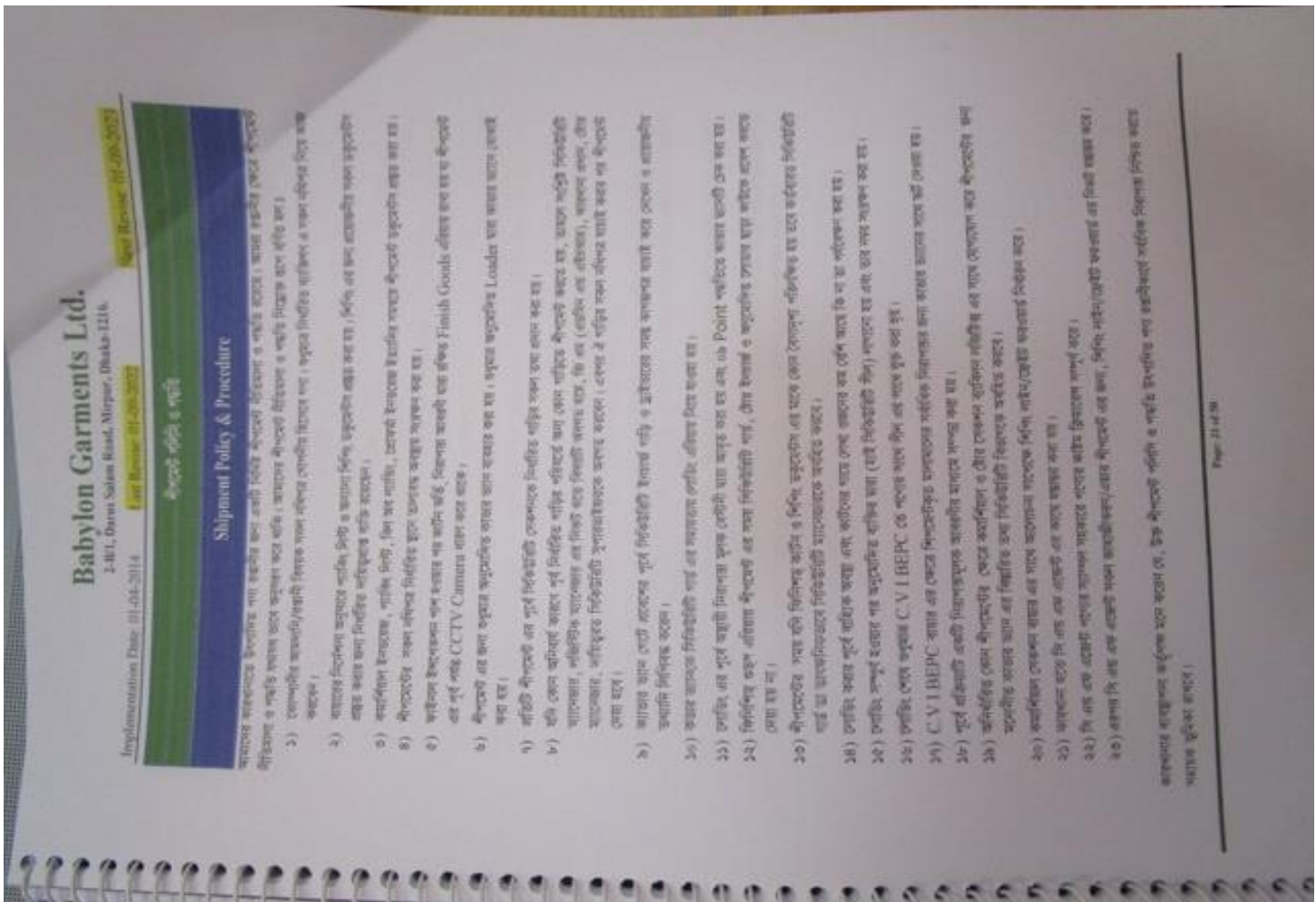
Procedural Security - Question # 72

[Reporting_Shortage & Overage.jpg](#)

Procedural Security - Question # 73

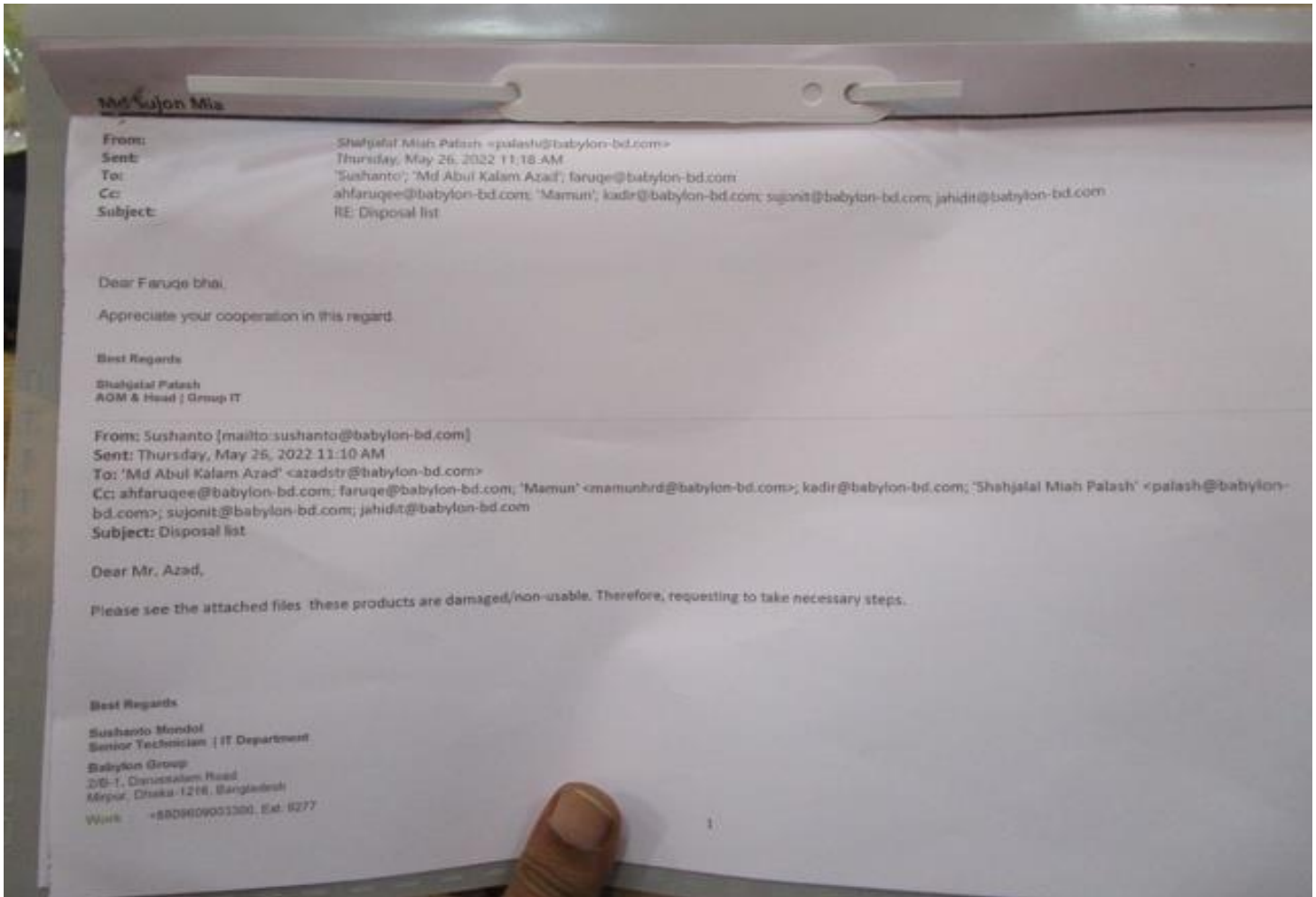
[Count & weight record.jpg](#)

Procedural Security - Question # 74



[Shipping & receiving documentation.jpg](#)

Procedural Security - Question # 77



[Commercial documents sending process.jpg](#)

Procedural Security - Question # 78

[Notification System.jpg](#)

Procedural Security - Question # 79

DATE	TIME	VISITOR NAME	DOCUMENT	ACCESS GRANTED	ACCESS DENIED	ENTRY	EXIT	REMARKS
01.11.21	08:10	MR. A. HASSAN KHAN	by 5/20	OK	OK	OK	OK	
"	08:40	MR. A. HASSAN KHAN	"	OK	OK	OK	OK	
"	08:50	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	09:00	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	09:10	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	09:20	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
02.11.21	08:05	MR. HASSAN KHAN	"	OK	OK	OK	OK	
"	08:35	MR. HASSAN KHAN	"	OK	OK	OK	OK	
"	08:50	MR. HASSAN KHAN	"	OK	OK	OK	OK	
"	09:00	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	09:10	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	09:20	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	09:30	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
23.11.21	08:05	MR. HASSAN KHAN	"	OK	OK	OK	OK	
"	08:10	MR. A. HASSAN KHAN	"	OK	OK	OK	OK	
24.11.21	08:40	MR. HASSAN KHAN	"	OK	OK	OK	OK	
"	09:00	MR. HASSAN KHAN	"	OK	OK	OK	OK	
"	09:10	MR. HASSAN KHAN	"	OK	OK	OK	OK	
30.11.21	08:05	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	08:30	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	08:40	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	08:50	MR. A. HASSAN KHAN	"	OK	OK	OK	OK	
"	09:00	MR. A. HASSAN KHAN	"	OK	OK	OK	OK	
"	09:10	MR. A. HASSAN KHAN	"	OK	OK	OK	OK	
01.12.21	08:47	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	08:10	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	08:40	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	08:50	MR. HASSAN	"	OK	OK	OK	OK	
"	09:00	MR. HASSAN	"	OK	OK	OK	OK	
"	09:10	MR. HASSAN	"	OK	OK	OK	OK	
"	09:20	MR. HASSAN	"	OK	OK	OK	OK	
02.12.21	08:05	MR. RAJAN NIGAM	"	OK	OK	OK	OK	
"	08:10	MR. RAJAN NIGAM	"	OK	OK	OK	OK	

[Governing the use of the security technology.jpg](#)

Physical Security - Question # 99

[CCTV control room.jpg](#)

Physical Security - Question # 106

[Visitor log.jpg](#)

Misc - Question # 126



[Front of the factory and signage.jpg](#)

Misc - Question # 127



[Access_gate.jpg](#)

Misc - Question # 128



[Building_Structure.jpg](#)

Misc - Question # 129



[Shipping Area.jpg](#)

Misc - Question # 130



[Perimeter.jpg](#)

Misc - Question # 131



[Final packaging section.jpg](#)

Misc - Question # 132

[Vehicle Parking.jpg](#)

Misc - Question # 133

[Opening Meeting Letter.jpg](#)