Security Profile Supplier Questionnaire

Vendor: Arder   Date of interview: Dec.19.2011

Factory: Long Xing international Inc.   Interviewed by: Alex Chen

Factory Representative: Angela Lee

Title: Vice general manager

1. Personnel Security　个人安全				
Item 项目	Requirement 要求	Yes / No 是 / 否	Detail 细项	Notes 补充
1.1	*Before your company hires a person, does your company require the person to complete a written job application? 员工受聘前 ,是否须要填写职位申请表？	☒ / ☐		
1.2	*Do you screen job applicants using the following background checks? (Select all that apply) 贵公司有否为求职者作以下之背景审查(?选择所有用之　项目）	☐ / ☐	Not Applicable - Do Not Conduct Background Checks 不　用－没有作背景审查	
		☒ / ☐	*Criminal Background Check 犯罪背景审查	
		☐ / ☒	Financial Background Check / Credit Report 财政背景审查 / 财政报告	
		☐ / ☒	Drug and Alcohol Testing 药物及精测　请	
		☒ / ☐	Driver History 驾驶记录	
		☒ / ☐	*Unexplained Gaps or Periods of Unemployment 无阐明期间或无业期间	
		☐ / ☐	All of the Above 以上皆是	
		☐ / ☐	None Of the Above 以上皆否	
1.3	Are you permitted by your government to conduct background checks on prospective employees and existing employees? 你是否得到地方政府许可对应聘者及现有员工作背景审查？	☒ / ☐		
1.4	*Do you verify work history and references stated on applications submitted by job applicants? (Mark all that Apply) 有否核实求职者之工作履历及职位申请表上之资料？	☒ / ☐		
1.5	*Do you have a written code of conduct or policy that addresses security violations by employees? 有否书面守则或政策以记录违反安全之员工？	☒ / ☐		
1.6	Might you re-investigate a current employee based upon risk assessment and/or other certain considerations? 曾否因风险评估或某些考虑而对现职员工再作调查？	☒ / ☐		
1.7	*Does your employee termination/separation procedure address the following? (Select all that apply) 员　之离职或解　之程序包括(?选择所有　用之项目）	☒ / ☐	*Retrieval of Identification Badges 收回工作证	
		☒ / ☐	*Retrieval of Access Cards and/or Keys 收回所有身份识别咭及钥匙	
		☒ / ☐	*Termination of Alarm codes 终止其警报编码	
		☒ / ☐	*Notification of Security and/or Receptionist 知　警卫及接待处	
		☒ / ☐	*Termination of Computer Access 终止计算机存取权	

		☒ / ☐	*All of the Above 以上皆是	
		☐ / ☐	None of the Above 以上皆否	
1.8	*Do you maintain employment records with current contact information at all times? 任何时候，均存有带联络方法之员工记录？	☒ / ☐		

2. Physical Security　结构安全

Item 项目	Requirement 要求	Yes / No 是 / 否	Detail 细项	Notes 补充
2.1	*What materials are the walls and roof of your buildings made of? 建筑物之墙壁及天花是用什么材料　成？	☐ / ☒	Aluminum Sheet Metal/Corrugated Metal 铝片 / 波状金属	
		☐ / ☒	Steel Sheet Metal/Corrugated Metal 钢片 / 波状金属	
		☐ / ☒	Wood 木材	
		☒ / ☐	Concrete/Reinforced Cement 混凝土 / 强化水泥	
		☒ / ☐	Brick/Masonry Block 砖块 / 石块	
		☐ / ☒	Plastic or Fiberglass 塑料或纤维玻璃	
		☐ / ☒	Solid Roof with Open Walls 有开孔墙之天花	
		☐ / ☒	Solid Roof with Fenced Walls 有栏栅墙之天花	
		☐ / ☐	None of the Above (please specify construction in notes) 以上皆否(请于补充栏注明)	
		☒ / ☐	*Overall construction of the facility resists unlawful entry 整体结构能有效　止 法进入	
2.2	*If you store cargo outside, is the exterior yard or cargo storage area enclosed with fencing? 如货物存放于货仓外 ,外围存货区是否有栏栅包围□？	☒ / ☐		
2.3	*Are employees and visitors parking area separated from cargo handling and storage areas? 员工及访客之停车点是否与装货区分隔开？	☒ / ☐		
2.4	*Do you have locks on all external and internal doors, windows, gates, and fences? 是否所有门、窗、闸及栏栅均有上锁？	☒ / ☐		
2.5	*Are all areas inside and outside your facility, including parking areas, well-lit? 工厂范围内外 ,以至停车点是否均有足够照明？	☒ / ☐		
2.6	Do you store domestic, international, high value, and hazardous goods in separate locations within your warehouse? 有否将本地货品、国际货品、价　品及危险品分开存于货仓？	☐ / ☒		
2.7	Do you have fences or other barriers separating domestic, international, high value, and hazardous good? 有否用栏栅将本地货品、国际货品、　价货品及危险品分隔开？	☐ / ☒		
2.8	*Is your facility protected by security systems and/or security personnel such as the following: (Select all that apply) 是否有警报系统或保安员监察厂内之设备？	☐ / ☒	Electronic Burglar Alarm System 夜贼电子警报系统	*Must have at least one of the mentioned security system (#Preferably security guards and/or
		☒ / ☐	#Surveillance Cameras/Closed Circuit Television (CCTV)	

		Yes / No	Detail	Notes
			盗　监视系统 / 闭路电视	mentioned cameras)
		☒ / ☐	#Cameras Monitored by Local Personnel and/or Outside Security Company 厂内专人(或外来保安公司)监察闭路电视	*必须拥有最少一项左面提及之安全措施 #(建议最好有保安员及/或闭路电视)
		☐ / ☒	Alarm Monitored by Outside Security Company 外来保安公司监察警报系统	
		☒ / ☐	#Security Guards on Duty After Business Hours 办工时间以外仍有保安员驻守	

		☒ / ☐	#Security Guards on Duty all of the time (24 hours per day, 7 days per week)
			所有时间均有保安员驻守(每星期七天 ,每天廿四小时)	

		☐ / ☒	Security Dogs/Canine Units 警犬 / 警犬组	
		☒ / ☐	Security Gate or Gate House Monitored by Employee or Security Guard 员工或保安监察各大门	
		☐ / ☒	Area Patrolled by Local Law Enforcement 当地治安巡逻	
		☐ / ☐	Other Security Systems 其它保安系统	
		☐ / ☐	None of the Above 以上皆否	
2.9	Are your buildings, fences, and gates periodically inspected for damage? 有否定期检查建筑物、栏栅、大闸等？	☒ / ☐		
2.10	Do you have an internal security department? 厂内是否设有保安　?	☒ / ☐		
2.11	Is your facility located within an area such as a Free Trade Zone (FTZ), airport, or seaport, that is government controlled? 工厂是否位于自由贸易区、机场或海港区域内 ,并受政府管理？	☒ / ☐		

3. Physical Access Controls　环境进入控制

Item 项目	Requirement 要求	Yes / No 是 / 否	Detail 细项	Notes 补充
3.1	*Do you have the following physical access controls? (Select all that apply) 是否有以下识别控制(?选择所有　用之项目)	☒ / ☐	Photo Identification Badges for Employees 附相片的员工证	* Must have at least one of the items selected. *必须拥有最少一项左面提及之项目
		☐ / ☒	Electronic Proximity/Swipe Card Keys 电子感应咭	
		☐ / ☒	Electronic Buzzer/Release Doors 电子门锁	
		☐ / ☒	Security Guard Checkpoints 保安检查点	
		☐ / ☐	All of the Above 以上皆是	
		☐ / ☐	None of the Above 以上皆否	

3.2	Is employee access within your facilities limited to only those areas needed for the performance of their job duties? 员工是否只可进入与其工作有关之厂区？	☒ / ☐	
3.3	*Is the issuance and recording of keys, alarm codes , combinations to locks, electronic card keys, and similar access devices controlled and monitored? 是否所有钥匙之发出及记录、警报编码、电子匙咭、识别仪器等，均有　当监管？	☐ / ☒	
3.4	*Do you positively identify visitors when they arrive at your facility and restrict their access within your facility? 访客抵达工厂时，有否主动核实其身份及　制其可进入之范围？	☒ / ☐	*Visitors Must Present Photo Identification 访客须出示附照片之身份证明
		☒ / ☐	*Logbooks are Kept Showing Visitor's Name, Company They Are Represent, Purpose of Visit, and Entrance/Exit Times 记录簿上包括访客姓名、公司名称、职位、探访原因、及进出时间等
		☒ / ☐	*Visitors Must Wear A Visitor Badge or Similar Identification 访客须挂上访客证或类似识别
		☒ / ☐	*Visitors Must be Escorted by Security Personnel or Other Employees 访客须由保安或厂内员工同
		☒ / ☐	*All of the Above 以上皆是
		☐ / ☐	None of the Above 以上皆否
3.5	*Do you positively identify vendors when they arrive at your facility and restrict their access within your facility using the following measures? (Select all that apply) 供货商抵达工厂时，有否主动核实其身份及制其　可进入之范围？(选择所　用之项目）	☒ / ☐	*Vendors Must Present Photo Identification 供货商须出示附照片之身份证明
		☒ / ☐	*Logbooks are Kept Showing Vendor's Names, Company They Represent, Purpose of Visit, and Date/Time In and Out of the Facility 记录簿上包括访客姓名、公司名称、职位、探访原因、及进出时间等
		☒ / ☐	*Vendors Must Wear a Badge or Similar Identification 供货商须挂上访客证或类似识别
		☒ / ☐	*Vendors Must be Escorted in Certain Sensitive Areas 供货商须由保安或厂内员工同进入敏感区域
		☒ / ☐	*All of the Above 以上皆是
		☐ / ☐	None of the Above 以上皆否
3.6	Are arriving packages and mail periodically screened to detect potential security or health risks? 抵　之包裹及文件是否有作定期安全检查？	☒ / ☐	
3.7	*Do you have procedures for identifying, challenging, and addressing unauthorized persons attempting to enter your facilities? 是否有书面程序提及如何识别及阻止未经许可人士进入工厂？	☒ / ☐	

4. Procedural Security　程序安全

Item 项目	Requirement 要求	Yes / No 是 / 否	Detail 细项	Notes 补充
4.1	Do you notify your foreign customers and supply revised commercial documentation in the event of changes to the actual shipped goods or changes in the actual quantity of goods being shipped? 若贵厂　运的货品或其数量有所改变,有否　知国外之客户及修改相关之商业文件？	⊠ / ☐		
4.2	Do you provide commercial documentation to the foreign freight consolidator or carrier prior to actual exportation from the port of lading? 于装货港出口货品前,有否提供相关之商业文件予运商　或运输公司？	⊠ / ☐		
4.3	*Do you verify the quantity of product being shipped against purchase orders? 有否核实运　之数量是否与订单一致？	⊠ / ☐		
4.4	*Do you positively identify drivers delivering or receiving cargo before cargo is received or released? 于装卸货前,有否主动核实司机身份？	⊠ / ☐		
4.5	*Do you have procedures to ensure products are properly marked, weighed, counted, and documented? 有否书面程序以确保货品之标帜、重量、数量及文件皆为正确？	⊠ / ☐		
4.6	Do you have procedures for tracking the timely movement of goods? 有否书面程序以　查货品之　运时间？	☐ / ⊠		
4.7	*Do you have procedures for notifying Customs and/or local law enforcement agencies in cases where unusual incidents or illegal activities are detected or suspected? 当怀疑或上　不寻常事故或　法活动时,有否书面程序以　知海关及/或法定机构？	⊠ / ☐		
4.8	*Do you review security procedures on a periodic basis to prevent unauthorized access to facilities, equipment, and cargo? 有否定期查看保安程序以　止未经许可人士使用厂内设施、仪器或货品？	⊠ / ☐		
4.9	*Do you have internal controls for the selection of vendors? 对供货商之选择,有否经过内　审核？	⊠ / ☐		
4.10	*Do you have written security standards or requirements for your vendors? 有否给予供货商书面的保安标准或安全要求？	⊠ / ☐		
4.11	Do you use financial assessments to evaluate your vendors? 有否对你的供货商作财务评估？	⊠ / ☐		
4.12	*Do you discuss security issues with your vendors? 有否与你的供货商讨论保安问题？	⊠ / ☐		
4.13	Have you obtained a certification in a supply chain security program being administered by a foreign Customs Administration? If so, indicate specifics in notes section. 有否获得外国海关发出之供应链安全认证？如有,请于补充栏注明	☐ / ⊠		

5. Computer System Security　　计算机系统安全

Item 项目	Requirement 要求	Yes / No 是 / 否	Detail 细项	Notes 补充
5.1	Do your employees use a computer system? 你的员工有否使用计算机系统？	☒ / ☐		
5.2	*Are your computer systems protected with the following security measures? (Select all that apply) 你的计算机系统有否作以下之保护(?选择所有用　之项目)	☐ / ☐	Not Applicable - Do Not Have a Computer System 不　用 – 没有计算机系统	
		☒ / ☐	*Individual Accounts and Passwords are Created for Each Employee 每一员工以　独立的用户名称及密码	*If answer to 5.1 is "Yes", then all items are mandatory. *若5.1 之选择为"是", 则左面所有项目亦必须为"是".
		☒ / ☐	*Passwords are Changed Periodically 密码须定期修改	
		☒ / ☐	*Computer Security Policies and Procedures Have Been Written 有书面的计算机保安政策及程序	
		☒ / ☐	*Employees Have Been Trained on Computer Security Rules 员工已接受计算机保安守则之培训	
		☒ / ☐	*System Access is Monitored 系统之使用均受监察	
		☒ / ☐	*Employees Who Violate system Rules Can be Punished 员工违反系统守则将受处罚	
		☒ / ☐	*Firewalls and/or Anti-virus Software used 已安装火墙　及　毒软件	
		☒ / ☐	Other Computer Security 其它计算机保安	
		☒ / ☐	All of the Above 以上皆是	
		☐ / ☐	None of the Above 以上皆否	
5.3	*Do systems require periodic changes of the password? 系统是否须要定期更改密码？	☒ / ☐		
5.4	*Are IT security policies, procedures, and standards in place and provided to employees in the form of documented training? 对资讯系统之安全政策、程序及标准,是否有书面的培训记录?	☒ / ☐		
5.5	*Is there a documented system in place to identify the abuse of IT including improper access, tampering or the altering of business data? 是否有记录系统以识别误用资讯,包括不当的存取、窜改或修改数据？	☒ / ☐		

6. Security Training and Threat Awareness　　安全培训及危机意识

Item 项目	Requirement 要求	Yes / No 是 / 否	Detail 细项	Notes 补充
6.1	*Do you provide a security awareness program (C-TPAT) to employees? 有否建立一套安全意识课程予员工？	☒ / ☐	*Have documented security training that covers items related to C-TPAT. 有进行反恐训练,并有文件记录	
6.2	Does your security awareness program address the following: (Select all that apply) 你的安全意识课程包括(:选择所有　用之项目)	☐ / ☐	Not Applicable - Do Not Have a Security Awareness Program 不　用 – 没有安全意识课程	

		Yes / No	Detail	Notes
		☐ / ☒	Internal Conspiracies 间谍	
		☒ / ☐	Cargo Security 货物安全	
		☒ / ☐	Facility Security 设备安全	
		☒ / ☐	Unauthorized Access 未授权之进入	
		☒ / ☐	Security Incident Reporting 事故安全报告	
		☒ / ☐	Procedures 步骤	
		☒ / ☐	Theft Prevention 贼	
		☒ / ☐	Other Specialized Training for Specific Employees 其它特定培训予指定员工	
		☐ / ☐	All of the Above 以上皆是	
		☐ / ☐	None of the Above 以上皆否	
6.3	Does your company policy allow employees to be recognized and rewarded for active participation in security controls? 对主动参予安全控制之员工,贵厂会否给予承认和奖赏？	☒ / ☐		

7. Container Security 货柜安全

Item 项目	Requirement 要求	Yes / No 是 / 否	Detail 细项	Notes 补充
7.1	Do you load ocean containers or truck trailers that are sent to the U.S.? 有否使用货柜或拖头运 货物到美国？	☒ / ☐		
7.2	Do you affix seals to ocean containers or truck trailers prior to departure from your facility? 货柜或拖车离厂前,有否加上安全封条？	☒ / ☐		
7.3	*How do you obtain seals that are affixed to ocean containers or truck trailers? (Select all that apply) 你怎样获得该安全封条(?选择所有 用之项目）	☒ / ☐	From trucker picking up the container or trailer at your facility 于厂内由货车司机提供	
		☒ / ☐	Directly from the ocean carrier or truck trailer 直接从航运公司或拖头	
		☐ / ☒	You maintain a stock or inventory of seals 工厂备有安全封条之存货	
		☐ / ☒	Seals are affixed by the carrier or consolidator at their facilities 安全封条由运输或并货商于其它地方加上	
		☐ / ☒	Other 其它	
		☐ / ☐	All of the Above 以上皆是	
		☐ / ☐	None of the Above 以上皆否	
7.4	Do the seals meet or exceed the current PAS 17 Standards for high security seals? 是否使用符合或 于PAS 17712 规格之 安全性封条？	☒ / ☐		*If 7.2 is "Yes". Then these sections are mandatory. *若7.2 之选择为"是", 则左面所有项目亦必须为"
7.5	Are seals kept in a safe and secure place such as a locked file cabinet or safe? 安全封条是否存放于已上锁之柜内或其它安全地方？	☒ / ☐		
7.6	Is a designated person responsible for maintaining and distributing the seals?	☒ / ☐		

	安全封条是否由一位指定人士负责保管及分 ？				是".
7.7	*Do you have documented procedures addressing the notification of the steamship line, consignee, local law enforcement, or Customs if a compromised container, trailer or door lock has been detected? 是否有书面程序以 知 装箱运输公司、货主、当地法定机构或海关关于已落实的货柜、拖头或安全封条之资料？	☒ / ☐			
7.8	*Do you have written procedures requiring that empty ocean containers or truck trailers destined for the U.S. be inspected before loading? (Select all that Apply) 对运往美国之货柜,是否有书面程序要求在装货前先检查空货柜？(选择所有 用之项目）	☒ / ☐	*Multi - point inspection must be done on all containers or trailers to detect false walls, hatches, damage or other security issues. 必须作多点检查,以确保货柜或货车内并无损毁、破口或其它安全问题	
		☒ / ☐	*Container or trailer door locks must be inspected 必须检查货柜或货车之门锁	
		☒ / ☐	*Written procedures 书面程序	
		☐ / ☐	Not Applicable - Do not load ocean containers or truck trailers at this facility 不 用 – 没有在本厂内进行货柜或货车之装箱	
7.9	*Are documented procedures in place for reporting and addressing unauthorized entry to containers, trailers or container storage areas? 有否书面程序以报告及记录未经准许人士或车轮进入货柜存储区域	☒ / ☐		
7.10	*Are ocean containers or truck trailers stored overnight secured by the following: (Select all that apply) 对 宵存放之货柜或货车有否实施以下之安全措施(:选择所有 用之项目）	☒ / ☐	Padlocks 挂锁	*Must have at least one of the items selected. *必须使用最少一项左面提及之措施
		☒ / ☐	Seals 安全封条	
		☐ / ☒	Ultra-High security seals, such as "J-bar" locks 特 安全性封条 ,如J形锁	
		☐ / ☒	Other locking devices 其它锁具	
		☐ / ☒	Back container doors against a hard surface, such as a building wall or concrete dock 将柜门靠贴坚固的表面 ,如大厦外墙	
		☐ / ☒	Keep containers or trailers in a secured, fenced-in yard with guards and closed- circuit television 将货柜或货车停放于一处安全、有围墙并有保安员及闭路电视的地方	
		☐ / ☐	N/A - Because loaded containers or trailers are never stored overnight 不 用 – 因从不容许货柜或货车 宵 留	
		☐ / ☐	All of the Above 以上皆是	
		☐ / ☐	None of the Above 以上皆否	

Remark ：
- Items with * are critical points. Any "NO" result for these items must be taken seriously and requires corrective action immediately.
- Items with # are preferably items.

- End -