

DOCUMENT CHECKLIST

In each instance where applicable, please have the following documents ready for the GSV auditor's review:

#	Relevant Name of Documents/Records	Yes	No	Remark
1	Documented policy that requires that all security procedures be documented	<input type="checkbox"/>	<input type="checkbox"/>	
2	Site security assessment report	<input type="checkbox"/>	<input type="checkbox"/>	
3	Documented procedure to conduct periodic security checks to ensure that all of the above security procedures are being performed properly (including the records of the outcomes of the checks)	<input type="checkbox"/>	<input type="checkbox"/>	
4	Documented security improvement plan	<input type="checkbox"/>	<input type="checkbox"/>	
5	Facility security plan	<input type="checkbox"/>	<input type="checkbox"/>	
6	Personnel security guidelines	<input type="checkbox"/>	<input type="checkbox"/>	
7	Background check records (new and regular check)	<input type="checkbox"/>	<input type="checkbox"/>	
8	Personnel records	<input type="checkbox"/>	<input type="checkbox"/>	
9	Record of the distribution and inventory of employee IDs including lost IDs	<input type="checkbox"/>	<input type="checkbox"/>	
10	Procedure for employee IDs returning and related records	<input type="checkbox"/>	<input type="checkbox"/>	
11	Documented procedures for retrieving IDs and/or deactivate access as needed and related records	<input type="checkbox"/>	<input type="checkbox"/>	
12	Record of the distribution and inventory of keys including lost keys	<input type="checkbox"/>	<input type="checkbox"/>	
13	Training material and record of employee orientation	<input type="checkbox"/>	<input type="checkbox"/>	
14	Documented security training and awareness program (training plan, records and training material, newsletter etc.)	<input type="checkbox"/>	<input type="checkbox"/>	
15	Written employee code of conduct / handbook	<input type="checkbox"/>	<input type="checkbox"/>	



16	Record of the distribution, returning and changing of facility's access keys, codes, cards to employees	<input type="checkbox"/>	<input type="checkbox"/>	
17	Documented employee termination procedures	<input type="checkbox"/>	<input type="checkbox"/>	
18	Inspection / checking records related to infrastructure integrity	<input type="checkbox"/>	<input type="checkbox"/>	
19	Documented procedures for reporting and neutralizing unauthorized entry to container storage areas	<input type="checkbox"/>	<input type="checkbox"/>	
20	Security guard / force training record	<input type="checkbox"/>	<input type="checkbox"/>	
21	Job duty / description of security guard	<input type="checkbox"/>	<input type="checkbox"/>	
22	Visitor / vehicle in-out access control / management procedure	<input type="checkbox"/>	<input type="checkbox"/>	
23	Employees in-out record	<input type="checkbox"/>	<input type="checkbox"/>	
24	CCTV records	<input type="checkbox"/>	<input type="checkbox"/>	
25	Visitor and vehicle / driver entries and exits log	<input type="checkbox"/>	<input type="checkbox"/>	
26	Up-to-date list of names and addresses of all contractors	<input type="checkbox"/>	<input type="checkbox"/>	
27	Employee badge and visitor badge	<input type="checkbox"/>	<input type="checkbox"/>	
28	Documented procedures for screening arrived packages and mail prior to distribution	<input type="checkbox"/>	<input type="checkbox"/>	
29	Advance notice	<input type="checkbox"/>	<input type="checkbox"/>	
30	Entering/Exiting deliveries or conveyance log	<input type="checkbox"/>	<input type="checkbox"/>	
31	Documented procedure to handle the broken seal case	<input type="checkbox"/>	<input type="checkbox"/>	
32	Documented broken seal examination	<input type="checkbox"/>	<input type="checkbox"/>	
33	Documented procedure to verify seal number against facility documentation when the container / trailer is turned over to the next supply chain link	<input type="checkbox"/>	<input type="checkbox"/>	
34	Documented procedure to verify whether the seal is intact when the container / trailer is turned over the next supply chain link	<input type="checkbox"/>	<input type="checkbox"/>	
35	Documented procedures for detecting and	<input type="checkbox"/>	<input type="checkbox"/>	





	reporting shortages and overages			
36	Documented procedures for identifying which employees are allowed access to: electronic information systems / facility documents / shipping forms / shipping data / high security seal / shipping/cargo movement	<input type="checkbox"/>	<input type="checkbox"/>	
37	Documented procedures to adjust or rescind IT system access	<input type="checkbox"/>	<input type="checkbox"/>	
38	Procedures for disciplining IT system violators	<input type="checkbox"/>	<input type="checkbox"/>	
39	Computer information back-up records	<input type="checkbox"/>	<input type="checkbox"/>	
40	Shipment information or export records	<input type="checkbox"/>	<input type="checkbox"/>	
41	Documented procedure to ensure that accurate, legible and complete cargo documents and packing slips prepared	<input type="checkbox"/>	<input type="checkbox"/>	
42	Documented system that management is informed of and investigates all anomalies found in shipments and/or the accompanies documents	<input type="checkbox"/>	<input type="checkbox"/>	
43	Documented procedure that customs and/or local law enforcement is notified of shipment anomalies, as appropriate	<input type="checkbox"/>	<input type="checkbox"/>	
44	Documented procedures for tracking goods for shipment	<input type="checkbox"/>	<input type="checkbox"/>	
45	Documented cargo verification procedure to prevent unmanifested cargo from being loaded	<input type="checkbox"/>	<input type="checkbox"/>	
46	Documented procedures to verify the integrity of the container structure (7-point inspection procedure)	<input type="checkbox"/>	<input type="checkbox"/>	
47	Documented procedures to verify the integrity of the trailer structure (10-point inspection procedure) (If applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
48	Container, trailer, truck, closed van inspection records	<input type="checkbox"/>	<input type="checkbox"/>	
49	Cargo loading record	<input type="checkbox"/>	<input type="checkbox"/>	
50	Documented procedure to affix a high security seal which meets or exceeds ISO/PAS 17712 on each container / trailers bound for the US	<input type="checkbox"/>	<input type="checkbox"/>	





51	ISO/PAS 17712 test reports or certification of seals	<input type="checkbox"/>	<input type="checkbox"/>	
52	Documented procedures for affixing, replacing, recording, and tracking the seals placed on containers, trailers, trucks, and/or railcars	<input type="checkbox"/>	<input type="checkbox"/>	
53	Internal or external on-site inspection report for contractors	<input type="checkbox"/>	<input type="checkbox"/>	
54	Contractor's security self-assessment record	<input type="checkbox"/>	<input type="checkbox"/>	
55	Documented selection of logistic contractors	<input type="checkbox"/>	<input type="checkbox"/>	
56	Documented freight consolidator security standard	<input type="checkbox"/>	<input type="checkbox"/>	
57	Documented procedure for in-country carriers to report security violations to the facility management	<input type="checkbox"/>	<input type="checkbox"/>	
58	Written or electronic confirmation of its partners' compliance with C-TPAT or C-TPAT-equivalent security criteria (e.g., contract language, a letter of commitment signed at the management level or above, signed acknowledgement of receiving the facility's C-TPAT participation announcement)	<input type="checkbox"/>	<input type="checkbox"/>	
59	Written legal contract with a transport company	<input type="checkbox"/>	<input type="checkbox"/>	
60	Periodic unannounced security check	<input type="checkbox"/>	<input type="checkbox"/>	
61	Documented system in place to ensure that management is informed of and investigates all anomalies found in shipments including human trafficking	<input type="checkbox"/>	<input type="checkbox"/>	
62	Documented cargo verification procedure in place to prevent unmanifested cargo and/or illegal aliens from being loaded	<input type="checkbox"/>	<input type="checkbox"/>	
63	Risk Assessment Program	<input type="checkbox"/>	<input type="checkbox"/>	
64	Risk Assessment Process Guide	<input type="checkbox"/>	<input type="checkbox"/>	
65	Other (Please specify):	<input type="checkbox"/>	<input type="checkbox"/>	

