

SCAN SECURITY AUDIT - Pre Audit Checklist

#	Class	Question Text	Possible Answers	Comments	
Business Partner Requirements	1	<i>None</i>	Do you contract any services, such as security, transportation or manufacturing labor?	Yes, No	
	2	<i>Must</i>	Are written, verifiable processes and procedures used in the selection of business partners including material suppliers, manufacturers, and logistics service providers?	Yes, No	
	3	<i>Must</i>	When entering into a contractual agreement with a business partner, are minimum supply chain security requirements provided?	Yes, No	
	4	<i>Must</i>	Is a contracted business partner such as a transportation provider, or a freight consolidator, required to conduct and provide an annual risk assessment of their operation?	Yes - Annually, Yes - Minimally every 2 years, One time, No	
	5	<i>Should</i>	Is a contracted logistics service provider given an outline of minimum security standards in their local language?	Yes, No	
Container & Trailer Security	6	<i>Critical</i>	Are international shipments sealed with an ISO 17712 compliant high-security seal immediately after a container or trailer is loaded?	Yes, No	
	7	<i>Must</i>	Are written and verifiable procedures in place to ensure that security seals are controlled and are properly applied to a container or trailer by a designated facility representative?	Yes, No	
	8	<i>Critical</i>	Are security seals stored in a secured location?	Yes, No	
	9	<i>Must</i>	Does the facility have a designated employee with responsibility to maintain, distribute, and handle security seals? (Does not apply if security seal is provided and controlled by the logistics company or ocean carrier.)	Yes, No	
	10	<i>Must</i>	Is the security seal number recorded on the bill of lading and a copy is retained by the facility?	Yes, No	
	11	<i>Must</i>	Is there a written and verifiable security procedure in place covering an unscheduled stop, a compromised shipment, or an unattended shipment shared with the logistics provider and driver? Select all that apply.	Procedure is written, Reporting requirement, Container/Trailer cannot be left unattended, Nothing in place	
	12	<i>Must</i>	Is a written and verifiable procedure in place indicating how to recognize a suspected or compromised security seal, container or trailer structure tampering, and how to report the issue to the freight forwarder and appropriate local law enforcement?	Yes, No	
	13	<i>Must</i>	Is a written and verifiable procedure in place to require that security or shipping personnel verify the security seal number against the bill of lading when the container or trailer departs the facility?	Yes, No	

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Cont	14	Should	Is a photograph taken of a loaded container or trailer with the security seal affixed? Select all that apply.	Photos taken, Seal number in photos, Trailer/container number in photos, No		
	15	Must	Is a loaded and stored container or and trailer closed and secured with a security seal?	Yes, No		
	16	Must	Is a written procedure in place to report unauthorized access to a container, a trailer, or product storage areas within the facility including who to notify?	Yes, No		
	17	Must	Is there a written procedure in place to inspect the security integrity of a container or trailer prior to loading?	Yes, No		
	18	Critical	Prior to loading a trailer or container does the facility conduct a 7-point inspection using a documented checklist?	Yes, No		
	19	Must	Does the shipping area use equipment to conduct a 7-point container inspection? Select all that apply.	Laser distance measurer, Pre-measured string, Mirrors for undercarriage, Hammer for tap test, No		
	20	Must	Does the facility maintain training records indicating shipping employees are trained to properly perform a 7-point container/trailer inspection?	Yes, No		
Relevance Security	21	Critical	Is driver information recorded and retained for all departing shipments?	Yes, No		
	22	Must	Is a written procedure in place instructing drivers to take designated routes between the origin and the port?	Yes, No		
	23	Must	Where possible, are transit routes from the facility to the port or next destination randomly changed?	Yes, No		
	24	Must	What container or trailer tracking technologies does the facility require is used by contracted transportation company? Select all that apply.	GPS or other (please explain), Procedure is written, No requirements		
	25	Must	Is a written and verifiable security procedure in place with contracted less than container load (LCL) service providers? (NA implies that no LCL shipments are made by this facility on international shipments.)	Yes, No		

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Com1	26	Must	Is there a procedure in place that requires an LCL container or trailer is sealed after each stop with either a tamper evident seal or a padlock? Select all that apply. (Select NA if an LCL shipment is not made by this facility.)	Procedure is written, Tamper evident seal, Padlock with key controlled by driver, Padlock with keys controlled by factory, No requirements
	27	Must	If the facility makes LCL shipments are Tamper evident seals validated prior to removal at each stop and do all seals accompany the load to the final destination? (Select NA if LCL shipments are not made by this facility.)	Yes, No
	28	Must	If the facility makes air shipments, is there a written and verifiable procedure in place outlining steps required to document shipment movement from the facility until delivery to the freight forwarder or airline? (Select NA if air shipments are not made by this facility.)	Yes, No
Physical Access Controls	29	Critical	Is a written procedure in place that outlines access control to the facility, property, and buildings, to include the issue, removal, and changing of access control devices and ID cards?	Yes, No
	30	Must	Are access control procedures or devices used to ensure that only authorized employees have access the facility?	Yes, No
	31	Critical	Is a written and verifiable 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, to only authorized employees?	Yes, No
	32	Critical	Is a written procedure in place to require a visitor to present photo identification upon arrival and their information is recorded into a visitor log? Select all that apply.	Procedure is written, Visitor sign-in log in use, Photo ID checked, Nothing in place
	33	Should	Is a written and verifiable procedure in place to inspect a visitor's bag or package before entering and leaving the facility?	Yes, No
	34	Must	Is a visitor issued a numbered visitor badge which is displayed while at the facility?	Yes, Badges issued but not numbered, No
	35	Must	Is a visitor escorted at all times while at the facility?	Yes, No
36	Must	Is a written and verifiable procedure in place to inspect a suspicious package and mail for dangerous materials prior to distribution?	Yes, No	
37	Must	Is an employee with a photo ID badge required to display the badge at all times while at the facility? (Select NA if a photo ID badge is not issued or cannot be worn in a food pack house or food processing facility).	Yes, No	

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38	Must	Is a written and verifiable procedure in place to identify, challenge, and remove an unauthorized person at the facility?	Yes, No		
Personnel Security	39	Must	Is an employee hiring procedure documented and implemented? Select all that apply.	Policy is written, Procedure for hiring, Procedures for applications, Employee documentation, New employee screening, Nothing in place	
	40	Must	Is a permanent and temporary job applicant 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 requirement	
	41	Must	Is a written and verifiable 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	
	42	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 sensitive area of the facility, such as personnel, shipping, computer systems, or contract employees? (Select NA if a background check is prohibited by law).	Policy is written, Criminal background checks, No	
	43	Must	Is a written and verifiable procedure in place to remove facility access, such as a facility issued ID badge or card and a computer access code from an employee who have resigned, is terminated, or takes an extended leave of absence?	Yes, No	
Procedural Security	44	Must	Is a written and verifiable procedure in place that requires all information used in the clearing of merchandise/cargo is legible, complete, and accurate?	Yes, No	
	45	Must	Is a written and verifiable procedure in place that restricts access for shipping and receiving documentation to only authorized employees?	Yes, No	
	46	Should	Is a written and verifiable procedure in place to communicate business information necessary for customs clearance within 24 hours of shipment departure from the facility?	Yes, No	
	47	Must	Is an international shipment marked, counted, weighed (if required), and properly reported on the commercial invoice and bill of lading?	Yes, No	
48	Critical	Is a written and verifiable procedures in place to protect against the introduction of unauthorized and unmanifested materials during the container and trailer loading and shipping processes?	Yes, No		

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49	Must	Is a written and verifiable procedure in place to resolve a carton count shortage overage or a documentation issue found during container or trailer loading or after the shipment has departed the facility?	Yes, No	
50	Critical	Is a written and verifiable procedure in place to notify local law enforcement and the customer when an illegal shipping activity or abnormality is suspected or detected? Select all that apply.	Procedure is written, Local law enforcement notified, Customer notified, Nothing in place	
51	Must	Is there a designated employee and visitor vehicle parking area separated from the shipping and receiving area? Select all that apply.	Shipping & Receiving fenced, No POVs in Shipping & Receiving area, Access controlled, No	
52	Must	Is the area adjacent to the shipping and receiving areas enclosed or otherwise monitored? Select all that apply.	Shipping & Receiving area enclosed, Shipping & Receiving are monitored, No	
53	Must	Does the shipping area have a fence, a wall, or other controls separating domestic, hazardous, high value, and international goods and materials?	Yes, No	
54	Must	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, Preventative maintenance, Maintenance logs kept, Nothing in place	
55	Must	Are facility gates through which vehicles and/or employees enter and exit guarded or monitored and secured when not in use?	Yes, No	
56	Must	In the event of a power outage, does the facility have an alternate electrical power system to ensure uninterrupted operation of electronic security systems? (Select NA if there is not an electronic security system in place at the facility.)	Yes, No	
57	Should	Are facility buildings constructed of materials that will resist easy unlawful entry? (Select NA if the facility is a food packing house that does not have enclosed buildings and explain.)	Yes, No	
58	Must	Are facility windows, gates, fences, and doors secured with locking devices to deter unauthorized access? (Note: a designated fire exit must never be locked from the inside that prevents employees from evacuating the building in an emergency situation.)	Yes, No	

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Physical Security	59	Must	Is a written and verifiable procedure in place to control the issue, removal, and changing of access devices such as an ID badge, door and lock keys, access cards, and security alarm codes? Select all that apply.	Procedure is written, Written checklist, Included in Termination document, Nothing in place
	60	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?	Yes, Interior lighting only, Exterior lighting only, Nothing in place,
	61	Should	Does the facility have an anti-intrusion alarm that is connected to a monitoring system and/or transmitted to local law enforcement or a third party monitoring company?	Yes, No
	62	Should	Is a procedure in place to test and inspect the security alarm system? Select all that apply.	Procedure is written, Regular testing, Regular inspections, Preventative maintenance, Maintenance logs kept, Nothing in place
	63	Should	Is a CCTV system used to monitor the facility and premises including entrances, exits, cargo storage, shipping, and other loading/unloading areas?	CCTV, Other surveillance system (please explain), No CCTV or camera system
	64	Should	Is a procedure in place to test and inspect the CCTV system? Select all that apply.	Procedure is written, Regular testing, Regular inspections, Preventative maintenance, Maintenance logs kept, Nothing in place
	65	Should	If used, how many days are CCTV recordings kept?	90 or more days, 45 - 89 days, 30 - 44 days, Less than 30 days, Recordings not retained
	66	None	Describe the front of the factory building including any signage. Please attach a picture.	Free Text - Add Comments
	67	None	Describe the guard station and facility access gates. Please attach a picture.	Free Text - Add Comments
	68	None	Describe the buildings and structures for this location. Please attach a picture.	Free Text - Add Comments
69	None	Describe the shipping and receiving areas. Please attach a picture.	Free Text - Add Comments	
70	None	Describe the final packaging area. Please attach a picture.	Free Text - Add Comments	

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Security Training & Threat Awareness	71	Should	Is a security Threat Awareness training program established and maintained? Is training provided to all new employees and current employees as an annual refresher? Select all that apply.	Procedure is written, Yes - to all employees annually, Yes - to all employees new hire, Nothing in place
	72	Must	Does Threat Awareness training identify unique risks for sensitive or restricted areas of the facility such as final packing, shipping and receiving?	Yes, No
	73	Must	Does Threat Awareness training inform employees of procedures to report suspicious activity or a security incident?	Yes, No
	74	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.	Shipping & Receiving controls, Container/trailer inspections, Container/trailer sealing, Seal controls, Nothing in place
	75	Should	Does the training program include criteria critical to security programs such as Threat Awareness, Contraband, Human Smuggling and Terrorism? Select all that apply.	Threat Awareness, Contraband, Human Smuggling, Terrorism, Nothing in place
	76	Should	Does the facility have a program to recognize an employee when reporting a security incident or recommending improvements?	Incentive/recognition program, Nothing in place
Information Technology Security	77	Must	Is a written information technology system security policy in place? Select all that apply.	Policy is written, Assignment and removal of access controls, Nothing in place
	78	Must	Do automated systems at the facility have individually assigned user accounts that require a periodic change of password? Select all that apply.	Individually assigned accounts, Periodic password changes, Nothing in place
	79	Should	Are written procedures and automated back-up capabilities in place to protect against the loss of data? Select all that apply.	Procedure is written, Automated back-up, Manual back-up, Nothing in place
	80	Should	Are automated systems in place to monitor for and prevent attempts of unauthorized access and tampering with systems and/or electronic data?	Yes, No
	81	Should	Are employees with computer systems access aware of and receive training about information technology system policies, procedures, and security standards; and is employee training documented and retained? Select all that apply.	Employees trained, Training material sufficient, Training documented and retained, Nothing in place

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82	Should	Is an employee who violates or abuses the information technology policies and procedures subject to disciplinary action?	Yes, No	