



INDIA GLAZES LIMITED

119/1 Badu 1st Main Road, Kathore More, Badu, Kolkata, West Bengal, India 700 128 +91-9830166152

SUPPLY CHAIN SECURITY - INTERNATIONAL FACILITY

Report #	CA-2022-06-0110
Audit Submitted	Jun 09, 2022
Compliance Score	73%
Audit Type	CORPORATE AUDIT

Location Information



India Glazes Limited

119/1 Badu 1st Main Road, Kathore More, Badu, Kolkata, West Bengal, India 700 128 +91-9830166152

SMO	3699121
Status Detail	The location is active
Location	India Glazes Limited
Primary Location	Yes
Critical Location	No
Assigned Auditor	Arindam Banerjee
Schedule Date	Jun 01, 2022

Audit Summary

Pre CAPA

Audit Submitted Jun 09, 2022		Compliance Score Pre CAPA 73%		Risk Index Elevated
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Compliance by Category



Business Profile Information

Is your organization certified to a Government Supply Chain Security Program or other Security Organization? **No**

Do you ship dedicated loads for the Customer requesting this assessment? **Yes**

% Consolidated **7**

Do you outsource any manufacturing services? **Yes**

Company Name	Contact Email	Contact Email	Percentage of time
Arshi Bag	Raja	bag.arshi@yahoo.in	100

Do you outsource any transportation services including any container stuffing or conveyance loading? **Yes**

Company Name	Contact Email	Contact Email	Percentage of time
Mukhiya Transport	Bivash Singh	mukhiyatransport37@gmail.com	75

Audit Responses

Audit Assigned

May 30, 2022



Due Date

Jun 29, 2022



Overall Compliance Score

73%

Corporate Security - Security Vision and Responsibility

100%

- 1 **Should** Does the company have a signed statement of support regarding the company's security vision from senior management that is displayed where employees can view the policy?

If yes, please provide an attachment showing where the policy is displayed.

Yes
 No
Expected Actual



[Attachment1.pdf](#)

Comments: The company have a signed statement regarding the company's security vision from senior management that is displayed where employees can view the policy

- 2 **Should** Has the company formed a cross-functional team from various disciplines within the organization to participate in the supply chain security process?

Yes
 No
Expected Actual

Comments: The company has formed a cross-functional team from various disciplines within the organization to participate in the supply chain security process. CFT include such as Security, Packing, Dispatch.

- 3 **Must** Is there an internal audit process in place to ensure that supply chain security policies and procedures are being adhered to?

If yes, please provide an attachment of the process.

Yes
 No
Expected Actual



[Attachment2.xlsx](#)

Comments: There is internal audit process in place to ensure that supply chain security policies and procedures are being adhered to.

- 4 **Must** Has the company designated a supply chain security point of contact?

If yes, please provide their name and contact information.

- Yes
 No
Expected Actual

Comments: Single point of contact: Mr. Raj Chandak, Phone no. 9830166152, Email: info@indiaglazes.com

Corporate Security - Risk Assessment

75%

5 **Must** Are security risk assessments conducted to identify and mitigate security vulnerabilities?

- Yes
 No
Expected Actual

Comments: Security risk assessments conducted to identify and mitigate security vulnerabilities. Last conducted on 2/5/2022.

6 **Must** Do the security risk assessments include assessing transportation companies and suppliers?

- Yes, risk assessments are also conducted for both transportation companies and suppliers.
 Risk assessments are only conducted for suppliers
 Risk assessments are only conducted for transportation companies
 Risk assessments are only conducted for the site itself
 NA
Expected Actual

Comments: Risk assessments are conducted for both transportation compaies and suppliers. Last conducted on 2/5/2022 for Mukhiya Transport and on 23/5/22 for Addplast India.

7 **Should** Does the risk assessment map the flow of cargo and include all parties involved in the movement of cargo?

If yes, please provide an attachment of the risk assessment.

- Yes
 No
 NA
Expected Actual



[Attachment3.pdf](#)

Comments: The risk assessment map the flow of cargo and include all parties involved in the movement of cargo. However, the organisation has not carried out risk assessment.

8 **Must** Are the risk assessments reviewed at minimum on an annual basis?

- Yes
 No

Expected Actual

Comments: Risk assessment reviewed at minimum on an annual basis. Last conducted on 2/5/22, and previous on 2/5/21.

- 9 **Should** Is there a Crisis Management Plan in place that includes business continuity, security recovery plans and business resumption?

Please provide an attachment of the cover along with the table of contents for the SOP.

- | | | |
|-------------------------------------|-------------------------------------|---------------------------------------|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Yes, includes business continuity |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Yes, includes security recovery plans |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Yes, includes business resumption |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | No |

Expected Actual

Comments: Crisis Management Plan in place, but does not include business continuity, security recovery plans and business resumption

Corporate Security - Business Partners

55%

- 10 **Must** Is there a written risk based process for screening new business partners and for monitoring existing partners?

If yes, please provide an attachment of the written process.

- | | | |
|----------------------------------|----------------------------------|--|
| <input checked="" type="radio"/> | <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | <input type="radio"/> | There is a process but it is not documented |
| <input type="radio"/> | <input type="radio"/> | Yes, but the process only includes new business partners, not monitoring existing partners |
| <input type="radio"/> | <input type="radio"/> | No |

Expected Actual

Comments: There is a written risk based process for screening new business partners and for monitoring existing partners



[Attachment4.pdf](#)

- 11 **Should** Is the financial soundness of business partners checked regularly to ensure that there is no involvement in money laundering or the funding of terrorist organizations?

- | | | |
|----------------------------------|----------------------------------|-----|
| <input checked="" type="radio"/> | <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | <input type="radio"/> | No |

Expected Actual

Comments: Financial soundness of business partners checked regularly to ensure that there is no involvement in money laundering or the funding of terrorist organizations. Verified for Arshi Bag, Mukhiya Transport.

- 12 **Must** Is the certification status of business partners in a government sponsored supply chain security program, being monitored? (i.e. Status Verification Interface module in the CTPAT Portal or copies of AEO certificates on file)

If yes, please provide an explanation on how the status is being monitored.

Yes
 No
Expected Actual

Comments: Certification status of business partners in a government sponsored supply chain security program, not being monitored

- 13 **Must** Is there a method in place to ensure business partners have security measures that meet or exceed the customer's minimum security criteria?

If yes, please describe.

Yes
 No
Expected Actual

Comments: There is a method in place to ensure business partners have security measures that meet or exceed the customer's minimum security criteria. It includes personal security, physical security, storage & distribution, information control, information access control, contractor control, export & logistics, record and documentation.

- 14 **Should** Are business partners required to complete security self assessment questionnaires regularly?

Yes
 No
Expected Actual

Comments: Business partners not required to complete security self assessment questionnaires regularly

- 16 **Must** Have identified security gaps of business partners been addressed in a timely manner?

Yes
 No
Expected Actual

Comments: Security gaps of business partners not addressed since business partners does not provide self assessment questionnaire.

- 17 **Should** Is there a documented social compliance program that, at a minimum, addresses how the company ensures that imported goods were not mined, produced, manufactured, wholly or in part, by prohibited forms of labor?

If yes, please provide an attachment of the documented program.

Yes
 No
Expected Actual



Comments: A documented social compliance program is in place that addresses that imported goods were not mined, produced, manufactured, wholly or in part, by prohibited forms of labor.

Corporate Security - Cybersecurity

50%

18 **Must** Are there written cybersecurity policies and procedures in place?

If yes, please provide an attachment of the procedures.

Yes
 No
Expected Actual

Comments: Cyber security policy not in place. Although cyber security procedure is available.

19 **Must** Are there security software and firewalls in place to protect IT systems, including provisions for data breaches and unforeseen events that can lead to data loss?

Yes
 No
Expected Actual

Comments: ESET NOD32 Antivirus has been in place. License valid up to 4/2/2025.

20 **Must** Does the facility regularly test the security of their IT system infrastructure?

Yes
 No
Expected Actual

Comments: The facility regularly test the security of the IT systems infrasturcture. Last checked on 7/5/22.

22 **Must** Is there a documented system in place to identify unauthorized access of IT systems, abuse of IT systems or the tampering or altering of business data by employees or contractors?

If yes, please provide an attachment of the documented system.

Yes
 No
Expected Actual

Comments: Documented system not in place to identify unauthorized access of IT systems, abuse of IT systems or the tampering or altering of business data by employees or contractors

23 **Must** Are cybersecurity policies and procedures reviewed and updated annually or more frequently as risk or circumstances dictate?

Yes
 No
Expected Actual

Comments: Policies and procedures are not in place.

24 **Must** Is access to IT systems restricted by job function and responsibilities?

Yes
 No
Expected Actual

Comments: Access to IT systems are restricted by job functions and responsibilities. Systems are password protected and changed once in 30 days.

25 **Must** Are individually assigned user accounts issued to all employees who access any IT related systems or programs?

Yes
 No
Expected Actual

Comments: Individuals are assigned user accounts issued to all employees who access any IT related systems.

26 **Must** Are there appropriate technologies in place to ensure secure access when users connect to the company's IT system remotely?

Yes
 No
 NA
Expected Actual

Comments: Team viewer is in place to ensure secure access when users connect to the company's IT system remotely.

27 **Must** Are personal devices allowed?

Yes
 No
Expected Actual

Comments: No personal devices are allowed

29 **Should** Do policies and procedures include measures to prevent the use of counterfeit or improperly licensed technological products?

Yes
 No
Expected Actual

Comments: Policies and procedures does not include measures to prevent the use of counterfeit or improperly licensed technological products.

30 **Should** Is data backed up at least once a week?

Yes
 No
Expected Actual

Comments: Data backed up at least once a week. Last done on 28/5/22.

31 **Must** When IT equipment that contains sensitive information is disposed, is it properly sanitized and/or destroyed in accordance with national security guidelines for technology?

Yes
 No
Expected Actual

Comments: Management not aware of the National Security Guidelines for Technology in respect of disposal of IT equipment that contains sensitive information.

Transportation Security-Conveyance and Instruments of International Traffic Security

81%

32 **Must** Are conveyances and Instruments of International Traffic (IIT) stored in a secure area to prevent unauthorized access and/or manipulation at all times?

Yes
 No
 NA
Expected Actual

Comments: Conveyances and Instrument of International Traffic are stored in a secured area to prevent unauthorised access and /or manipulation at all times. List of authorised persons is in place. 5 persons are designated. Security persons are posted in addition.

33 **Must** Are security and agricultural inspections conducted on all shipping conveyances prior to loading?

Yes
 No
 NA
Expected Actual

Comments: Security inspection is conducted. However agricultural inspections is not conducted on all shipping conveyances prior to loading.

34 **Must** Does the conveyance inspection ensure that all locking mechanisms are in good order and will detect any signs of tampering prior to affixing a seal?

Yes
 No
 NA
Expected Actual

Comments: Conveyance inspection ensure that all locking mechanism are in good order and will detect any sign of tampering prior to affixing a seal. Verified for Container no. EITU 0537246, Date of inspection 15/1/22. TCKU 7152602, Date of inspection 24/3/22.

35 **Should** Are conveyance inspections documented using an inspection checklist?

If yes, please provide an attachment of the inspection checklist.

- | | | |
|----------------------------------|----------------------------------|-----|
| <input checked="" type="radio"/> | <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | <input type="radio"/> | No |
| <input type="radio"/> | <input type="radio"/> | NA |
| Expected | Actual | |



[Attachment6.pdf](#)

Comments: Conveyance inspections are documented using an inspection checklist.

36 **Should** Please check what the conveyance inspection checklist includes from the list below.

- | | | |
|-------------------------------------|-------------------------------------|---|
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Container/Trailer/IIT Number |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Date of Inspection |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Time of Inspection |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Name of employee conducting the inspection |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Specific areas of the IIT that were inspected |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Supervisor/witness signature |
| <input type="checkbox"/> | <input type="checkbox"/> | Other |
| <input type="checkbox"/> | <input type="checkbox"/> | NA |
| Expected | Actual | |

Comments: Container no., Trailer no., date of inspection, and specific areas of the IIT that were inspected has been noted. Container inspected for front wall, left side wall, right side wall, floor, sealing roof, inside outside door mechanism, outside under carriage, exterior front side, rear bumper door. However, Time of inspection, Name of employee conducting the inspection, Supervisor/witness signature not noted. Verified for Container no. EITU 0537246, Date of inspection 15/1/22. TCKU 7152602, Date of inspection 24/3/22.

37 **Should** Are conveyance inspections conducted in a controlled area and monitored via CCTV cameras?

- | | | |
|----------------------------------|----------------------------------|-----|
| <input checked="" type="radio"/> | <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | <input type="radio"/> | No |
| <input type="radio"/> | <input type="radio"/> | NA |
| Expected | Actual | |

Comments: Conveyance inspections are conducted in a controlled area and monitored via 2 nos. of CCTV cameras. Unauthorised persons are not allowed during the time of loading.

38 **Should** Are managers conducting random re-inspections of conveyances based on risk to ensure effectiveness?

- | | | |
|----------------------------------|----------------------------------|-----|
| <input checked="" type="radio"/> | <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | <input type="radio"/> | No |
| <input type="radio"/> | <input type="radio"/> | NA |
| Expected | Actual | |

Comments: Managers conduct random re-inspections of conveyances based on risk to ensure effectiveness. Mr. Gautam Mallick has been authorized to conduct such inspections. Verified to be done on 24/3/22 for container no. TCKU 7152602

39 **Should** Do service agreements with transportation providers track conveyances from origin to destination point?

- | | | |
|----------------------------------|----------------------------------|-----|
| <input checked="" type="radio"/> | <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | <input type="radio"/> | No |
| <input type="radio"/> | <input type="radio"/> | NA |
| Expected | Actual | |

Comments: Service agreements with transportation providers track conveyances from origin to destination point. Verified for agreement with Mukhiya Transport, date 1/4/22.

40 **Should** Is a "no-stop" policy implemented for land border shipments that are in the proximity of the international border?

- | | | |
|----------------------------------|----------------------------------|-----|
| <input checked="" type="radio"/> | <input type="radio"/> | Yes |
| <input type="radio"/> | <input type="radio"/> | No |
| <input type="radio"/> | <input checked="" type="radio"/> | NA |
| Expected | Actual | |

Comments: The company does not operate in the proximity of the international border.

41 **Must** Are relevant business partners alerted as soon as a credible threat to the security of a shipment or conveyance is discovered?

- | | | |
|----------------------------------|----------------------------------|-----|
| <input checked="" type="radio"/> | <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | <input type="radio"/> | No |
| <input type="radio"/> | <input type="radio"/> | NA |
| Expected | Actual | |

Comments: Relevant business partners alerted as soon as a credible threat to the security of a shipment or conveyance is discovered.

Transportation Security - Seal Security

100%

42 **Must** Please check all elements that are contained in written seal controls.

- | | | |
|-------------------------------------|-------------------------------------|--|
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Management of seals is restricted to authorized personnel. |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Secure storage |

- Inventory, Distribution, & Tracking (Seal Log)
- Recording the receipt of new seals.
- Issuance of seals recorded in log. Track seals via the log.
- Only trained, authorized personnel may affix seals to IIT.
- Controlling Seals in Transit
- Ensure that packed IITs are sealed
- If the seal is changed by law enforcement agency--record replacement seal number.
- The driver (or pertinent employee) must immediately notify dispatch (or applicable staff) when a seal is broken, indicate who broke it, and provide the new seal number.

NA
Expected Actual

Comments: Management of seals is restricted to authorised personnel, Mr. Neel Kamal Kankani. Seals are stored securely in locked drawers, and the keys are available with Mr. Neel Kamal Kankani. Inventory, Distribution and tracking is done and recorded. New seals receipt are recorded. Issuance of seals are recorded in log. Only trained authorised personnel affixes seals. Mr. Mr. Gautam Mallik and Mr. Subroto Ghosh are responsible for the same. Seals are controlled in transit through confirmation from transporters. Verified for BOLT 02092305 issued for container no. EITU 0537246, date 15/1/22, and BOLT 02092311 issued for container no. TCKU 7152602, date 24/3/22. If the seal is changed by law enforcement agency, provision for record replacement seal number is available. The driver immediately notify dispatch when a seal is broken, indicate who broke it, and provide the new seal number.

43 **Must** Are all shipments that can be sealed, secured immediately after loading/stuffing/packing by the responsible party (i.e. the shipper or packer acting on the shipper's behalf) with a high security seal?

Yes
 No
Expected Actual

Comments: All shipments are secured immediately with high security seal after loading by authorised company person. Mr. Gautam Mallick is authorised for sealing.

44 **Must** Is there evidence that demonstrates that the seals being used are compliant with the ISO 17712 standard?

If yes, please provide an attachment showing this.

Yes
 No
 NA
Expected Actual



[Attachment7.pdf](#)

Comments: Seal test certificate evident that demonstrates that the seals being used are compliant with the ISO 17712 standard. Certificate ref. IN-SH-5801-21117-1, Inspection date 31/5/21, Expiry 30/5/2023

45 **Must** Are there documented procedures for conducting seal inventories?

If yes, please provide an attachment of the documented procedures.

- Yes
 No
 NA
Expected Actual



[Attachment8.pdf](#)

Comments: Documented procedure for conducting seal inventories not evident.

46 **Must** Is a seal verification process being followed to ensure all high security seals (bolt/cable) have been affixed properly to IIT, and are operating as designed?

- Yes
 No
 NA
Expected Actual

Comments: Seal verification process is followed to ensure all high security seals have been affixed properly to IIT and are operating as designed. Verification done by Mr. Gautam Mallik.

Transportation Security - Procedural Security

74%

47 **Must** Are there measures in place to prevent unauthorized access when cargo is staged overnight or for extended periods of time?

If yes, please provide an attachment of the measures.

- Yes
 No
Expected Actual



[Attachment9.pdf](#)

Comments: Measures are in place to prevent unauthorised access when cargo is staged overnight or for extended periods of time.

48 **Must** Are cargo staging areas, and the immediate surrounding areas, inspected on a regular basis to ensure these areas remain free of visible pest contamination?

- Yes
 No
Expected Actual

Comments: Cargo staging areas, and the immediate surrounding areas, are inspected on a regular basis to ensure these areas remain free of visible pest contamination. Mouse traps available at site. Pest control carried out on regular basis. Last done on 11/4/22.

49 **Should** Is the loading/stuffing of cargo into containers/IIT supervised by a security officer or other designated person?

- Yes

No
 NA
Expected Actual

Comments: loading/stuffing of cargo into containers/IIT are supervised by a security officer or other designated person. Mr. Gautam Mallik is responsible for the same.

50 **Should** Are photographs taken during the loading and sealing process that document the seal number and seal location?

If yes, please provide an attachment of an example.

Yes
 No
 NA
Expected Actual

Comments: Photographs not taken on regular basis during the loading and sealing process that document the seal number and seal location. Photographs are taken, if there is a buyer requirement.

51 **Must** Are procedures in place to ensure that all information used in the clearing of merchandise/cargo is legible, complete, accurate, protected against the exchange, loss, or introduction of erroneous information, and reported on time?

Yes
 No
Expected Actual

Comments: Procedures are in place to ensure that all information used in the clearing of merchandise/cargo is legible, complete, accurate, protected against the exchange, loss, or introduction of erroneous information, and reported on time.

52 **Should** Are all shipping documents stored in a secure location to prevent unauthorized use?

Yes
 No
Expected Actual

Comments: All shipping documents are stored in a secure location to prevent unauthorized use. Such documents are in custody of Mr. Neel Kanth Kankani and Mr. Gautam Mallik.

53 **Must** Do the shipping procedures ensure that the carrier's cargo manifest accurately reflects the information provided to the carrier by the shippers or its agent, and is filed with the customs administration in a timely manner?

Yes
 No
Expected Actual

Comments: The shipping procedures ensure that the carrier's cargo manifest accurately reflects the information provided to the carrier by the shippers or its agent, and is filed with the customs administration in a timely manner

54 **Must** Are shipping personnel, who are responsible for reviewing import/export shipping data, trained to recognize or identify suspicious cargo shipments?

Yes
 No
Expected Actual

Comments: Mr. Gautam Mallik is trained to recognize or identify suspicious cargo shipments

55 **Must** Is there a notification protocol in place to report any suspicious activities or security incidents that may affect the security of the company's supply chain?

If yes, please provide an explanation of the notification protocol.

Yes
 No
Expected Actual

Comments: Notification protocol is not in place to report any suspicious activities or security incidents that may affect the security of the company's supply chain

56 **Must** Are there procedures in place to identify, challenge, and address unauthorized/unidentified persons?

If yes, please provide an attachment of the procedures.

Yes
 No
Expected Actual

Comments: Procedures not in place to identify, challenge, and address unauthorized/unidentified persons.

57 **Should** Is there a mechanism in place to report security incidents anonymously?

If yes, please provide an explanation of how the mechanism works.

Yes
 No
Expected Actual

Comments: Incident reporting box is available which is opened on daily basis by Mr. Raj Chandak. Anybody can report security incident in local language, anonymously.

58 **Must** Are shortages, overages, and other significant discrepancies or anomalies investigated and resolved?

If no, please provide an explanation as to why.

- Yes
 No
Expected Actual

Comments: Shortages, overages, and other significant discrepancies or anomalies are investigated and resolved

59 **Should** Is arriving cargo reconciled against information on the cargo manifest?

If no, please provide an explanation as to why.

- Yes
 No
Expected Actual

Comments: Arriving cargo are reconciled against information on the cargo manifest. Verified for Cotton weaving handle from Petex Date 30/5/22.

60 **Should** Are seal numbers assigned to specific shipments transmitted to the consignee prior to departure?

- Yes
 No
 NA
Expected Actual

Comments: Seal numbers assigned to specific shipments are not transmitted to the consignee prior to departure

61 **Should** Are seal numbers electronically printed on the bill of lading or other shipping documents?

- Yes
 No
 NA
Expected Actual

Comments: Seal numbers are electronically printed on the bill of lading or other shipping documents. Verified for 1. seal no FX 20361877, container no. MSCU 5263916, BL no. SDH 222100163, date 18/5/22 2. seal no. FX 20349762, container no. MSDU 7476560, BL no. VFLKOL 220054, 3/5/22. 3. seal no. A4211169668, container no. TCKU 7152602, BL no. ZIMUCCU 6027515, date 8/4/22.

Transportation Security - Agricultural Security

67%

62 **Must** Are there written procedures in place that are designed to prevent pest contamination?

If yes, please provide an attachment of the procedures.

- Yes
 No

Expected Actual



Comments: There is written procedures that are designed to prevent pest contamination.

63 **Should** Are these procedures compliant with Wood Packaging Materials (WPM) regulations?

Yes

No

Expected Actual

Comments: The organisation is not engaged in Wood Packaging Materials.

People & Physical Security - Physical Security

86%

64 **Should** Does perimeter fencing enclose the areas around cargo handling and storage facilities?

If yes, please provide an attachment showing this.

Yes

No

Expected Actual



[Attachment11.pdf](#)

Comments: Perimeter fencing enclose the areas around cargo handling and storage facilities

65 **Must** Do all cargo handling and storage facilities, including trailer yards and offices, have physical barriers and/or deterrents that prevent unauthorized access?

Yes

No

Expected Actual

Comments: All cargo handling and storage facilities, including trailer yards and offices, have physical barriers and/or deterrents that prevent unauthorized access.

66 **Must** Are gates where vehicles and/or personnel enter or exit (as well as other points of egress) manned or monitored?

Yes

No

Expected Actual

Comments: Gates where vehicles and/or personnel enter or exit (as well as other points of egress) manned and monitored. There is one gate for entry and exit. Security person is posted for 24 hours. There are two nos. CCTV camera, and is monitored for 24 hrs.

67 **Must** Are private passenger vehicles prohibited from parking in or adjacent to cargo handling and storage areas?

Yes

Expected Actual No

Comments: Private passenger vehicles are prohibited from parking in or adjacent to cargo handling and storage areas. Private vehicles are parked outside the premises.

68 **Must** Is adequate lighting provided inside and outside the facility including in the following areas: entrances and exits, cargo handling and including the following areas: entrances and exits, cargo handling and storage areas, fence lines, and parking areas?

If yes, please provide an attachment showing this.

Expected Actual Yes
 Expected Actual No



[Attachment12.pdf](#)

Comments: Adequate lighting arrangement is provided inside and outside the facility including including the following areas: entrances and exits, cargo handling and storage areas, fence lines, and parking areas. 9 nos. of high luminous lamps are installed across the areas.

69 **Must** Are there written policies and procedures governing the use, maintenance, and protection of security technology for the access control, alarms and video surveillance systems?

If yes, please provide an attachment of the written policies.

Expected Actual Yes
 Expected Actual No

Comments: *No comments were provided*

70 **Should** Has a licensed licensed/certified resource been contracted to design and install the security technology systems?

Expected Actual Yes
 Expected Actual No

Comments: licensed licensed/certified resource been contracted to design and install the security technology systems. Verified for J B Tech Enterprise

71 **Must** Is the security technology infrastructure physically secured from unauthorized access?

Expected Actual Yes
 Expected Actual No

Comments: Security technology infrastructure are physically secured from unauthorized access

72 **Should** Are security technology systems configured with an alternative power source that will allow the systems to continue to operate in the event of an unexpected loss of direct power?

<input checked="" type="radio"/>	<input checked="" type="radio"/>	Yes
<input type="radio"/>	<input type="radio"/>	No
Expected	Actual	

Comments: If there is a power failure, UPS is installed as an alternative power source. Capacity of UPS 800VA/12V

73 **Should** Is a CCTV system deployed?

<input checked="" type="radio"/>	<input checked="" type="radio"/>	Yes
<input type="radio"/>	<input type="radio"/>	No
Expected	Actual	

Comments: There are 25 CCTV cameras deployed all over.

74 **Must** Are cameras positioned to cover key areas of the import/export process?

If yes, please provide an attachment showing this.

<input checked="" type="radio"/>	<input checked="" type="radio"/>	Yes
<input type="radio"/>	<input type="radio"/>	No
<input type="radio"/>	<input type="radio"/>	NA
Expected	Actual	



[Attachment13.pdf](#)

Comments: Cameras are positioned to cover key areas of the import/export process

75 **Should** Do the cameras have an alarm/notification feature, which signal a "failure to operate/record" condition?

<input checked="" type="radio"/>	<input checked="" type="radio"/>	Yes
<input type="radio"/>	<input type="radio"/>	No
<input type="radio"/>	<input type="radio"/>	NA
Expected	Actual	

Comments: The cameras have an alarm/notification feature, which signal a "failure to operate/record" condition. Notification is send to the mobile of Mr. Raj Chandak instantly.

76 **Must** Are periodic, random reviews of the camera footage conducted (by management, security, or other designated personnel) to verify that cargo security procedures are being properly followed?

<input checked="" type="radio"/>	<input checked="" type="radio"/>	Yes
<input type="radio"/>	<input type="radio"/>	No
<input type="radio"/>	<input type="radio"/>	NA
Expected	Actual	

Comments: Review of the camera footage conducted by management on daily basis to verify that cargo securities are being followed.

77 **Should** Are CCTV recordings of key import/export processes maintained for a minimum of 14 days after the shipment being monitored has arrived at the point of destination, where the container is first opened after clearing customs?

<input checked="" type="radio"/>	<input type="radio"/>	Yes
<input type="radio"/>	<input checked="" type="radio"/>	No
<input type="radio"/>	<input type="radio"/>	NA

Expected Actual

Comments: CCTV recordings of key import/export processes are not maintained for a minimum of 14 days after the shipment being monitored has arrived at the point of destination, where the container is first opened after clearing customs.

People & Physical Security - Physical Access Controls

60%

78 **Must** Are there written procedures governing how identification badges and access devices are granted, changed, and removed?

If yes, please provide an attachment of the written procedures.

<input checked="" type="radio"/>	<input type="radio"/>	Yes
<input type="radio"/>	<input checked="" type="radio"/>	No

Expected Actual



[Attachment14.pdf](#)

Comments: Written procedure is available for identification badges. Company does not issue access devices to employees.

79 **Must** Are all visitors, vendors, and service providers required to present photo identification upon arrival?

<input checked="" type="radio"/>	<input checked="" type="radio"/>	Yes
<input type="radio"/>	<input type="radio"/>	No

Expected Actual

Comments: Visitors, vendors, and service providers are required to present photo identification upon arrival.

80 **Must** Is a registration log maintained that records the details of the visit?

If yes, please provide an attachment of the registration log.

<input checked="" type="radio"/>	<input type="radio"/>	Yes
<input type="radio"/>	<input checked="" type="radio"/>	No

Expected Actual



[Attachment15.pdf](#)

Comments: Registration log is maintained, however details of photo ID is not mentioned.

81 **Must** Are the drivers required to present a photo identification to the facility representative prior to delivering or receiving cargo to verify their identity?

If yes, please provide an attachment showing this.

Yes
 No
Expected Actual

Comments: The drivers required to present a photo identification to the facility representative prior to delivering or receiving cargo to verify their identity. However, the same is not noted in the register.

82 **Must** Is a cargo pickup log kept to register drivers and record the details of their conveyances when picking up or delivering cargo?

If yes, please provide an attachment of the cargo pickup log.

Yes
 No
Expected Actual



[Attachment16.pdf](#)

Comments: Cargo pickup log kept to register drivers and record the details of their conveyances when picking up or delivering cargo

83 **Should** Does the carrier notify the facility of the estimated time of arrival for the scheduled pick up, the name of the driver, and truck number?

Yes
 No
Expected Actual

Comments: The carrier notify the facility of the estimated time of arrival for the scheduled pick up, the name of the driver, and truck number through mobile phone.

84 **Should** Are arriving packages and mail periodically screened for contraband before being admitted?

Yes
 No
Expected Actual

Comments: Arriving packages and mail periodically screened for contraband before being admitted.

85 **Should** Is the delivery of goods to the consignee or other persons accepting delivery at the carrier's facility limited to a specific monitored area?

Yes
 No
Expected Actual

Comments: Delivery of goods to the consignee or other persons accepting delivery at the carrier's facility limited to a specific monitored area. Delivery of goods are done only at security gate.

86 **Must** Are work requirements for security guards contained in written policies and procedures?

If yes, please provide an attachment of the written policies.

Yes
 No
 NA
Expected Actual



[Attachment17.pdf](#)

Comments: Work requirements for security guards are contained in written policies and procedures

People & Physical Security - Personnel security

100%

87 **Must** Is application information, such as employment history and references, verified prior to employment, to the extent possible and allowed under the law?

Yes
 No
Expected Actual

Comments: Verified for Biswajit Dey (Emp. ID IGL/EMP/03), Bablu Samui (Emp ID IGI/EMP/06)

88 **Must** Is a criminal history check conducted as part of the employee background screening?

Yes
 No
 NA
Expected Actual

Comments: Verified for Biswajit Dey (Emp. ID IGL/EMP/03), Bablu Samui (Emp ID IGI/EMP/06). Document from Madhyamgram Municipality Councilor is obtained, prior to recruitment.

People & Physical Security - Education, Training, Awareness

73%

89 **Must** Has the company established and maintained a security and awareness training program to foster awareness of the security vulnerabilities to facilities, conveyances, and cargo at each point in the supply chain?

Yes

Expected Actual No

Comments: Security and awareness training program to foster awareness of the security vulnerabilities to facilities, conveyances, and cargo at each point in the supply chain has not been established and maintained.

90 **Must** Are drivers and other employee(s) that conduct security and agricultural inspections of empty conveyances and instruments of international traffic (IIT) trained to inspect their conveyances/IIT for both security and agricultural purpose?

Expected Actual Yes
 Expected Actual No

Comments: Training for security and agricultural inspections carried out on 2/5/22. No. of participants - 20.

91 **Should** Does the company have measures in place to verify that employees understand the training, such as through quizzes, a simulation exercise/drill, or regular audits of procedures?

Expected Actual Yes
 Expected Actual No

Comments: The company have measures in place to verify that employees understand the training, such as through quizzes. Training effectiveness for the above training carried out on 25/5/22.

92 **Should** Is specialized training provided annually to personnel who may be able to identify the Warning Indicators of Trade Based Money Laundering and Terrorism Financing?

Expected Actual Yes
 Expected Actual No

Comments: Specialized training provided annually to personnel who may be able to identify the Warning Indicators of Trade Based Money Laundering and Terrorism Financing. Verified for Mr. Goutam Mallik, Mr. Bablu Samui, Training date 01/3/22.

93 **Must** Is training provided that encompasses pest prevention measures, regulatory requirements applicable to wood packaging materials (WPM), and the identification of infested wood?

Expected Actual Yes
 Expected Actual No

Comments: The organisation is not engaged in Wood Packaging Materials.

94 **Must** Are personnel trained on the company's cybersecurity policies and procedures? This must include the need for employees to protect passwords/passphrases and computer access.

Expected Actual Yes
 Expected Actual No

Expected Actual

Comments: Personnel trained on the company's cybersecurity policies and procedures, that include the need for employees to protect passwords/passphrases and computer access. Verified for Mr. Biswajit Dey, Mr. Goutam Mallik, date of training 02/5/22

95 **Must** Have personnel operating and managing security technology systems been trained in their operation and maintenance?

Yes
 No
Expected Actual

Comments: Personnel operating and managing security technology systems been trained in their operation and maintenance. Verified for Mr. Goutam Mallik, date of training 12/2/22.

96 **Must** Has training been provided that covers reporting security incidents, suspicious activities and escalation procedures?

Yes
 No
Expected Actual

Comments: Training has been provided that covers reporting security incidents, suspicious activities and escalation procedures

97 **Should** Are there records on file to show date, time and who attend the training programs as well as material covered?

Yes
 No
Expected Actual



[Attachment18.pdf](#)

Comments: There are records on file to show date, time and who attend the training programs as well as material covered. Verified for Date of training 9/3/22, Time 3:15-4:45 PM, No. of participants 16.