



SCAN SECURITY AUDIT - Pre Audit Checklist

#	Class	Question Text	Possible Answers	Comments	
Business Partner Requirements	1	<i>None</i>	Does the facility utilize any contract services, such as security, transportation or manufacturing labor?	Yes, No	
	2	<i>Must</i>	Does the facility have 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>	Does the facility incorporate and require minimum supply chain security requirement language in contracts with a business partners?	Yes, No	
	4	<i>Must</i>	Are contracted business partners required to conduct and provide an annual security risk assessment of their operation? These business partners include any contract services, such as security, transportation provider, freight consolidation or manufacturing labor.	Yes - Annually, Yes - Minimally every 2 years, One time, No	
	5	<i>Should</i>	Are contracted logistics service providers given an outline of minimum security standards in their local language?	Yes, No, Not Applicable	
Container & Trailer Security	6	<i>Critical</i>	Are international shipments sealed with an ISO 17712:2013 compliant high-security seal immediately after a container or trailer is loaded?	Yes, No, Not Applicable	
	7	<i>Must</i>	Does the facility have written and verifiable procedures to ensure that security seals are controlled and are properly applied to a container or trailer by a designated facility representative?	Yes, No, Not Applicable	
	8	<i>Critical</i>	Are security seals stored in a secured location?	Yes, No, Not Applicable	
	9	<i>Must</i>	Does the facility have a designated employee with responsibility to maintain, distribute, and handle security seals?	Yes, No, Not Applicable	
	10	<i>Must</i>	Is the security seal number recorded on the bill of lading document and a copy of the bill of lading retained by the facility?	Yes, No, Not Applicable	
	11	<i>Must</i>	Does the facility have written and verifiable security procedures in place to report any unscheduled stops, compromised shipments, or any unattended shipments. These procedures should be provided to their contracted logistics provider and driver? Select all that apply.	Procedure is written, Reporting requirement, Container/Trailer cannot be left unattended, Nothing in place, Not Applicable	
	12	<i>Must</i>	Does the facility have a written and verifiable procedure in place indicating how to recognize a suspected or compromised security seal, container or trailer structure tampering, including how to report the issue to the freight forwarder and appropriate local law enforcement?	Yes, No, Not Applicable	
	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, Not Applicable	
	14	<i>Should</i>	Does the facility have a written procedure in place to take photographs of a loaded container or trailer with the security seal affixed, and is photo-taking part of the written process? Select all that apply.	Photos taken, Seal number in photos, Trailer/container number in photos, No , Not Applicable	
	15	<i>Must</i>	Is a loaded and stored container or trailer closed and secured with a security seal?	Yes, No, Not Applicable	
	16	<i>Must</i>	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	
	17	<i>Must</i>	Is there a written procedure in place to inspect the security integrity of a container or trailer prior to loading?	Yes, No, Not Applicable	
	18	<i>Critical</i>	Prior to loading a trailer or container does the facility conduct a 7-point inspection using a documented checklist?	Yes, No, Not Applicable	
	19	<i>Must</i>	Does the shipping area use equipment to conduct a 7-point container inspection? Select all that apply.	Laser distance measurer or Pre-measured string, Mirrors for undercarriage, Tap test tool (such as a hammer), No tools available, Not Applicable	
	20	<i>Must</i>	Does the facility maintain training records indicating which employees are trained to properly perform a 7-point container/trailer inspection?	Yes, No, Not Applicable	
21	<i>Critical</i>	Is driver information recorded and retained for all departing shipments?	Yes, No,		



SCAN SECURITY AUDIT - Pre Audit Checklist

#	Class	Question Text	Possible Answers	Comments	
Conveyance Security	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 location randomly changed to minimize predictability.	Yes, No, Not Applicable	
	24	Must	What container or trailer tracking technologies does the facility require to be used by the 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?	Yes, No, Not Applicable	
	26	Must	Is there a procedure in place that requires an LCL container or trailer to be sealed after each stop with either a tamper evident seal or a padlock? Select all that apply.	Procedure is written, Tamper evident seal, Padlock with key controlled by either factory and/or driver, No requirements, Not Applicable	
	27	Must	If the facility makes LCL shipments, does the facility have a procedure to validate tamper evident seals prior to removal at each stop, and do all seals accompany the load to the final destination?	Yes, No, Not Applicable	
	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 all the way to delivery to the freight forwarder or airline?	Yes, No, Not Applicable	
Physical Access Controls	29	Critical	Is a written procedure in place that outlines access control to the facility, property and buildings? Procedure should include details covering 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? Access should be limited to only authorized employees.	Yes, No Not Applicable	
	32	Critical	Is a written and verifiable 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 manufacturing, production or shipping area of 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, Not Applicable	
	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, Not Applicable	
	37	Must	Are employees required to display their ID badge at all times while at the facility?	Yes, No, Not Applicable	
	38	Must	Is a written and verifiable procedure in place to identify, challenge, and remove an unauthorized person at the facility?	Yes, No	
	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	



SCAN SECURITY AUDIT - Pre Audit Checklist

#	Class	Question Text	Possible Answers	Comments
Personnel Security	40	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 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?	Policy is written, Criminal background checks, No, Not Applicable
	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 any employee who has resigned, was 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 shipping documents for merchandise/cargo to be legible, complete, and accurate?	Yes, No
	45	Must	Is a written and verifiable procedure in place that restricts access to shipping and receiving documentation? Access should be limited to only personnel required to complete and review the documents.	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, Not Applicable
	47	Must	Is an international shipment marked, counted, weighed, and properly reported on the commercial invoice and bill of lading? Note due to Safety of Life at Sea (SOLAS) accurate container weights are now required for all ocean going shipments FCL and LCL.	Yes, No, Not Applicable
	48	Critical	Is a written and verifiable procedure in place to protect against the introduction of unauthorized and unmanifested materials during the container and trailer loading and shipping processes?	Yes, No, Not Applicable
	49	Must	Is a written and verifiable 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, Not Applicable
	50	Critical	Is a written and verifiable procedure in place to notify local law enforcement and the customer when illegal shipping activity or any 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 personally owned vehicles are permitted in Shipping & Receiving area, Access controlled, No
	52	Must	Is the area adjacent to the shipping and receiving areas enclosed or otherwise monitored?	Yes, 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 are documented, Preventative 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, Not Applicable
	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?	Yes, No, Not Applicable



SCAN SECURITY AUDIT - Pre Audit Checklist

#	Class	Question Text	Possible Answers	Comments
57	Should	Are facility buildings constructed of materials that will resist easy illegal entry?	Yes, No, Not Applicable	
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	
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, Checklist is 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 system?	Yes, No	
62	Should	Is a procedure in place to test and inspect the anti-intrusion 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, Not Applicable	
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, Not Applicable	
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	
71	None	Describe any container storage and vehicle parking areas and please attach picture.	Free Text - Add Comments	
72	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	
73	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	



SCAN SECURITY AUDIT - Pre Audit Checklist

#	Class	Question Text	Possible Answers	Comments	
Security Training & Threat Awar	74	<i>Must</i>	Does Threat Awareness training inform employees of procedures to report suspicious activity or a security incident?	Yes, No	
	75	<i>Must</i>	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	
	76	<i>Should</i>	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	
	77	<i>Should</i>	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	78	<i>Must</i>	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, Not Applicable	
	79	<i>Must</i>	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, Not Applicable	
	80	<i>Should</i>	Are written procedures and automated back-up capabilities in place to protect against the loss of data?	Procedure is written - No back-ups(25%), Procedure is written - Automated back-up(100%), Procedure is Written -Manual back-up(75%), Nothing in place, Not Applicable	
	81	<i>Should</i>	Are automated systems in place to monitor for and prevent attempts of unauthorized access and tampering with systems and/or electronic data?	Yes, No, Not Applicable	
	82	<i>Should</i>	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 available, Training documented and retained, Nothing in place, Not Applicable	
	83	<i>Should</i>	Is an employee who violates or abuses the information technology policies and procedures subject to disciplinary action?	Yes, No, Not Applicable	
	84	<i>None</i>	Did the Factory Representative and the Auditor sign the Opening Meeting Letter? Please attach the signed copy.	Yes, No	