# DOCUMENT CHECKLIST 文件清单

In each instance where applicable, please have the following documents ready for the GSV auditor's review. Other documents/records may be asked by the auditor based on the actual situation in the facility.

在需要的情况下，请准备好以下文件供 GSV 审核员审核。审核员可能根据现场的实际情况要求其他文件/记录。

| Relevant Name of Documents/Records 文件/记录名称 | Yes | No | Remark 备注 |
|---|---|---|---|
| Business License<br>营业执照 | ☐ | ☐ | |
| Supply Chain Security Statement<br>供应链安全声明 | ☐ | ☐ | |
| Site security assessment report<br>反恐审核报告或记录 | ☐ | ☐ | |
| Documented freight consolidator security standard<br>拼装商的书面安全标准/要求 | ☐ | ☐ | |
| Written policy regarding LCL movement if applicable<br>有关拼箱运输的书面政策（如适用） | ☐ | ☐ | |
| Risk Assessment Program / Continuity Plan<br>风险评估项目 / 业务连续性计划 | ☐ | ☐ | |
| Documented selection procedure of business partners, i.e. logistic contractors<br>业务伙伴 (如: 运输商)的书面选择程序 | ☐ | ☐ | |
| Up-to-date list of names and addresses of all contractors<br>最新承包商 (供应商、运输商、维修商等) 名单 | ☐ | ☐ | |
| Confirmation of 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)<br>业务伙伴符合 C-TPAT 及同等标准的书面/电子证明 | ☐ | ☐ | |
| Written legal contract with a transport/carrier companies or written statements/certifications/reports of security compliance<br>与运输商订立的合同或安全合规的书面声明/证明/报告 | ☐ | ☐ | |
| Internal or external on-site inspection report for contractors<br>承包商 (供应商、运输商和服务商) 现场反恐评估记录 | ☐ | ☐ | |
| Compliance Records / Certificate to all Minimum Security Criteria (MSC) requirements of Highway Carriers to US inbound shipments.<br>入境美国运输商符合最低安全标准 (MSC) 的记录/证书 | ☐ | ☐ | |

| Relevant Name of Documents/Records 文件/记录名称 | Yes | No | Remark 备注 |
|---|:---:|:---:|---|
| Cyber and Information Technology Security Policy<br>网络和资讯科技安全政策 | ☐ | ☐ | |
| Social compliance program OR audit reports of external security<br>社会责任计划或外部安全审核报告 | ☐ | ☐ | |
| Contractor's security self-assessment record<br>承包商 (供应商、运输商和服务商) 的自我评估记录 | ☐ | ☐ | |
| Procedures for disciplining IT system violators<br>信息控制程序 (违反 IT 管理制度的处罚规定) | ☐ | ☐ | |
| Computer information back-up records<br>电脑资料备份记录 | ☐ | ☐ | |
| 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<br>规定有权使用电脑系统/企业记录/船务预约/封条/货物搬运的人员之程序 | ☐ | ☐ | |
| Documented procedures to adjust or rescind IT system access<br>信息控制程序 (调整或解除员工信息系统权限的管理规定) | ☐ | ☐ | |
| Policy on security and agricultural inspections of the trailer/container<br>拖车/集装箱的安全和农业检查政策 | ☐ | ☐ | |
| Documented procedures to verify the integrity of the container structure (7-point inspection procedure)<br>货柜七点检查的管理程序 | ☐ | ☐ | |
| Documented procedures to verify the integrity of the trailer structure (10-point inspection procedure) (If applicable)<br>拖车十点检查的管理程序 (如适用) | ☐ | ☐ | |
| Container, trailer, truck, closed van inspection records<br>货柜、拖车、箱式货车等检查记录 | ☐ | ☐ | |
| Entering/Exiting deliveries or conveyance log<br>货车进出记录 | ☐ | ☐ | |
| Policy to handle pest contamination to inspect all containers/trailers, buildings and storage areas for any evidence of pests<br>处理虫害的政策，检查所有货柜/拖车，建筑物和储存区域是否有虫害迹象 | ☐ | ☐ | |
| Periodic unannounced security check<br>定期不通知反恐审核记录 | ☐ | ☐ | |
| Documented procedures for tracking goods for shipment<br>出货追踪的管理程序 | ☐ | ☐ | |

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|---|---|---|---|
| Land shipments to USA - Written instructions provided to the drivers to determine what type of stops are allowed and how and whom to notify if additional stops are required or occur<br>陆运至美国 - 向驾驶员提供书面说明，以确定允许哪种停泊，在需要或发生额外停泊时如何通知以及通知谁 | ☐ | ☐ | |
| Documented cargo verification procedure in place to prevent unmanifested cargo and/or illegal aliens from being loaded<br>防止对未经申报和/或非法出入境的货物或车辆进行装载的验证程序 | ☐ | ☐ | |
| Documented procedure that customs and/or local law enforcement is notified of shipment anomalies, as appropriate<br>出货异常处理程序 (报告异常状况给海关和/或当地执法部门的规定) | ☐ | ☐ | |
| Security Seal Procedure<br>封条使用程序 | ☐ | ☐ | |
| ISO/PAS 17712 test reports or certification of seals<br>封条测试报告或认证记录 | ☐ | ☐ | |
| Procedure and policy to ensure that cargo staging is secured and surrounding areas remain free of visible pest contamination<br>确保货物存放地点和周围区域不受虫害污染的程序和政策 | ☐ | ☐ | |
| Documented procedure to ensure that accurate, legible and complete cargo documents and packing slips prepared<br>确保货物文件正确、清晰可读及完整的管理程序/规定 | ☐ | ☐ | |
| Documented cargo verification procedure to prevent unmanifested cargo from being loaded<br>防止对未经申报的货物或车辆进行装载的验证程序 | ☐ | ☐ | |
| Shipment information or export records<br>船务和出货记录 | ☐ | ☐ | |
| Documented procedures for reporting and neutralizing unauthorized entry to container storage areas<br>上报和阻止非授权进入货柜存放区的书面程序 | ☐ | ☐ | |
| Documented system in place to ensure that management is informed of and investigates all anomalies found in shipments including human trafficking<br>异常状况 (包括人口贩卖) 调查和上报企业管理层的有关文件系统 | ☐ | ☐ | |
| Documented procedures for detecting and reporting shortages and overages<br>短装/溢装检查和上报程序 | ☐ | ☐ | |

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|---|---|---|---|
| Cargo loading record<br>装货记录 | ☐ | ☐ | |
| Inspection / checking records related to infrastructure integrity<br>基础设施完整性检查记录 | ☐ | ☐ | |
| CCTV records<br>闭路电视监控记录 | ☐ | ☐ | |
| Documented procedures for retrieving IDs/access and/or deactivate access as needed and related records<br>厂牌找回及解除访问权限程序 | ☐ | ☐ | |
| Record of the distribution and inventory of employee IDs /keys including lost IDs/keys<br>厂牌/钥匙发放/丢失记录 | ☐ | ☐ | |
| Employee badge and visitor badge<br>员工厂牌和访客证 | ☐ | ☐ | |
| List of Terminated Employees<br>离职员工名单 | ☐ | ☐ | |
| Visitor / vehicle in-out access control / management procedure<br>访客及车辆进出控制程序 | ☐ | ☐ | |
| Visitor and vehicle / driver entries and exits log<br>访客及车辆进出记录 | ☐ | ☐ | |
| Advance notice or record of notice from forwarder, trucking or 3PL<br>货物运输，卡车或 3PL 的预约通知或通知记录 | ☐ | ☐ | |
| Documented procedures for screening arrived packages and mail prior to distribution<br>邮件、包裹分发前安全筛选控制程序 | ☐ | ☐ | |
| Job duty / description of security guard<br>保安人员工作职责规定 | ☐ | ☐ | |
| Personnel security guidelines for hiring<br>人事招聘指引 | ☐ | ☐ | |
| Employees in-out record<br>员工进出记录 | ☐ | ☐ | |
| Background check records (new and regular check)<br>员工入职背景调查和定期调查记录 | ☐ | ☐ | |
| Documented security training and awareness program (training plan, records and training material, newsletter etc.)<br>定期反恐安全意识培训 (培训计划/教料/记录等) | ☐ | ☐ | |
| Training material and record of employee orientation<br>入职培训教材和记录 | ☐ | ☐ | |

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|---|---|---|---|
| Documented procedure for in-country carriers to report security violations to the facility management<br>国内运输商报告安全违规行为给企业管理层的书面程序 | ☐ | ☐ | |
| Written procedure for prevention of pest contamination in Wood Packaging Materials.<br>防止木质包装材料中有虫害污染的书面程序 | ☐ | ☐ | |
| Other (Please specify):<br>其他 (请列举): | ☐ | ☐ | |

In the event of any difference in interpretation between the English and Chinese versions of this document, the English version takes precedence.

倘若本文件的中文版本与英文版本有任何歧义，须以英文版本为准。