

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状况要求其他文件/记录。

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



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Cyber and Information Technology Security Policy 网络和资讯科技安全政策	<input type="checkbox"/>	<input type="checkbox"/>	
Social compliance program OR audit reports of external security 社会责任计划或外部安全审核报告	<input type="checkbox"/>	<input type="checkbox"/>	
Contractor's security self-assessment record 承包商 (供应商、运输商和服务商) 的自我评估记录	<input type="checkbox"/>	<input type="checkbox"/>	
Procedures for disciplining IT system violators 信息控制程序 (违反 IT 管理制度的处罚规定)	<input type="checkbox"/>	<input type="checkbox"/>	
Computer information back-up records 电脑资料备份记录	<input type="checkbox"/>	<input type="checkbox"/>	
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 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	<input type="checkbox"/>	<input type="checkbox"/>	
Documented procedures to adjust or rescind IT system access 信息控制程序 (调整或解除员工信息系统权限的管理规定)	<input type="checkbox"/>	<input type="checkbox"/>	
Policy on security and agricultural inspections of the trailer/container 拖车/集装箱的安全和农业检查政策	<input type="checkbox"/>	<input type="checkbox"/>	
Documented procedures to verify the integrity of the container structure (7-point inspection procedure) 货柜七点检查的管理程序	<input type="checkbox"/>	<input type="checkbox"/>	
Documented procedures to verify the integrity of the trailer structure (10-point inspection procedure) (If applicable) 拖车十点检查的管理程序 (如适用)	<input type="checkbox"/>	<input type="checkbox"/>	
Container, trailer, truck, closed van inspection records 货柜、拖车、箱式货车等检查记录	<input type="checkbox"/>	<input type="checkbox"/>	
Entering/Exiting deliveries or conveyance log 货车进出记录	<input type="checkbox"/>	<input type="checkbox"/>	
Policy to handle pest contamination to inspect all containers/trailers, buildings and storage areas for any evidence of pests 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	<input type="checkbox"/>	<input type="checkbox"/>	
Periodic unannounced security check 定期不通知反恐审核记录	<input type="checkbox"/>	<input type="checkbox"/>	
Documented procedures for tracking goods for shipment 出货追踪的管理程序	<input type="checkbox"/>	<input type="checkbox"/>	





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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 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	<input type="checkbox"/>	<input type="checkbox"/>	
Documented cargo verification procedure in place to prevent unmanifested cargo and/or illegal aliens from being loaded 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	<input type="checkbox"/>	<input type="checkbox"/>	
Documented procedure that customs and/or local law enforcement is notified of shipment anomalies, as appropriate 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)	<input type="checkbox"/>	<input type="checkbox"/>	
Security Seal Procedure 封条使用程序	<input type="checkbox"/>	<input type="checkbox"/>	
ISO/PAS 17712 test reports or certification of seals 封条测试报告或认证记录	<input type="checkbox"/>	<input type="checkbox"/>	
Procedure and policy to ensure that cargo staging is secured and surrounding areas remain free of visible pest contamination 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	<input type="checkbox"/>	<input type="checkbox"/>	
Documented procedure to ensure that accurate, legible and complete cargo documents and packing slips prepared 确保货物文件正确、清晰可读及完整的管理程序/规定	<input type="checkbox"/>	<input type="checkbox"/>	
Documented cargo verification procedure to prevent unmanifested cargo from being loaded 防止对未经申报的货物或车辆进行装载的验证程序	<input type="checkbox"/>	<input type="checkbox"/>	
Shipment information or export records 船务和出货记录	<input type="checkbox"/>	<input type="checkbox"/>	
Documented procedures for reporting and neutralizing unauthorized entry to container storage areas 上报和阻止非授权进入货柜存放区的书面程序	<input type="checkbox"/>	<input type="checkbox"/>	
Documented system in place to ensure that management is informed of and investigates all anomalies found in shipments including human trafficking 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	<input type="checkbox"/>	<input type="checkbox"/>	
Documented procedures for detecting and reporting shortages and overages 短装/溢装检查和上报程序	<input type="checkbox"/>	<input type="checkbox"/>	





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





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

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。

