



XL ENTERPRISES LTD.

Calcutta Leather Complex, 1st Gate, Zone 9, Plot No. 1623, LPG, PH-1, 24 Parganas (S), West Bengal, India 743502 9748320706

SUPPLY CHAIN SECURITY - INTERNATIONAL FACILITY

Report #	EA-2024-12-0137
Audit Submitted	Dec 09, 2024
Compliance Score	69%
Audit Type	EXTERNAL AUDIT

Location Information

XL Enterprises Ltd.

Calcutta Leather Complex, 1st Gate, Zone 9, Plot No. 1623, LPG, PH-1, 24 Parganas (S), West Bengal, India
743502 9748320706

SMO	3997762
Status Detail	Not provided
Location	XL Enterprises Ltd.
Primary Location	Yes
Critical Location	No
Assigned Auditor	Arindam Banerjee
Schedule Date	Nov 08, 2024

Audit Summary

Pre-CAPA

Audit Submitted

Dec 09, 2024

Compliance Score Pre-CAPA

69%

Risk Index

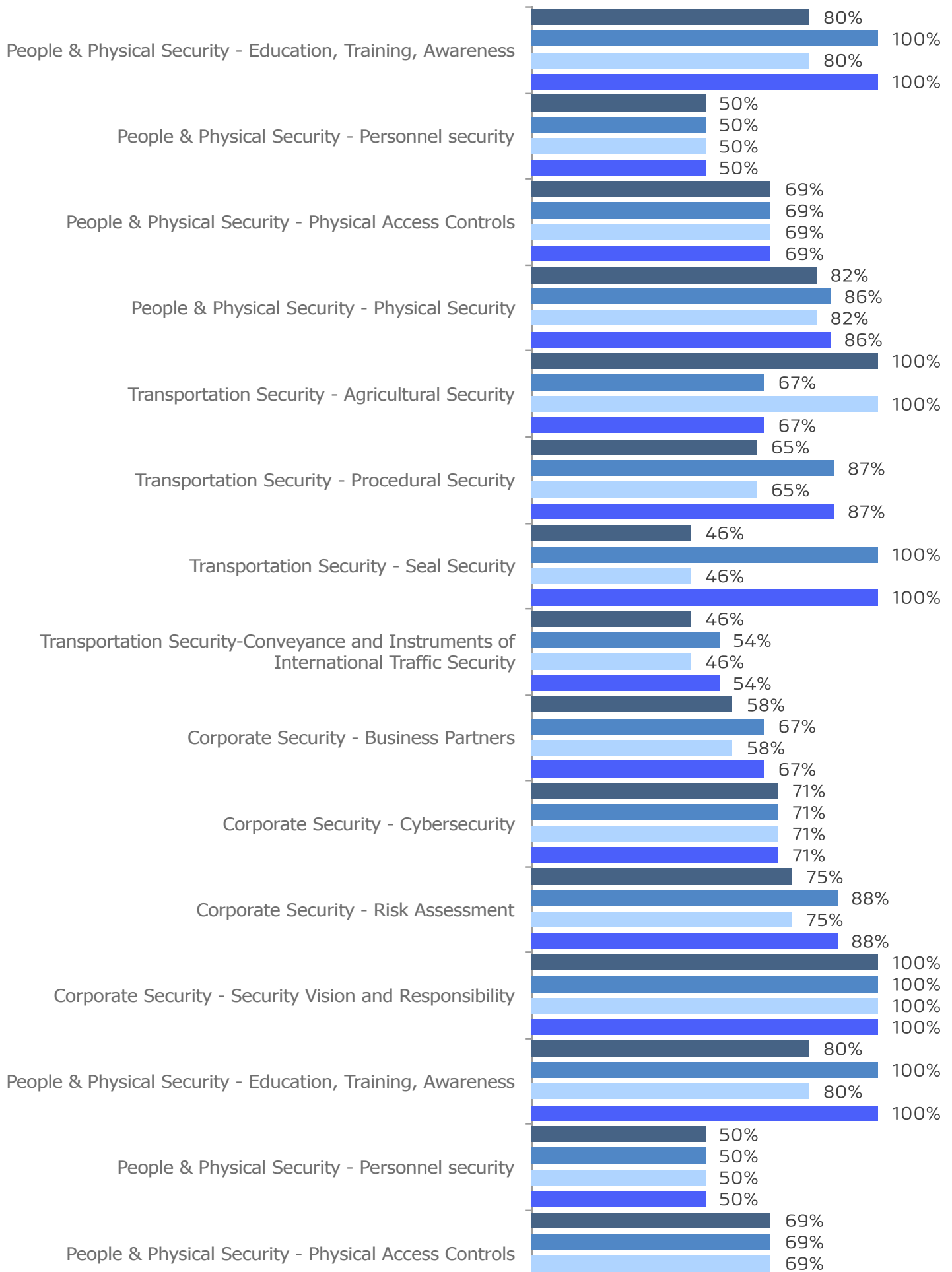
Elevated

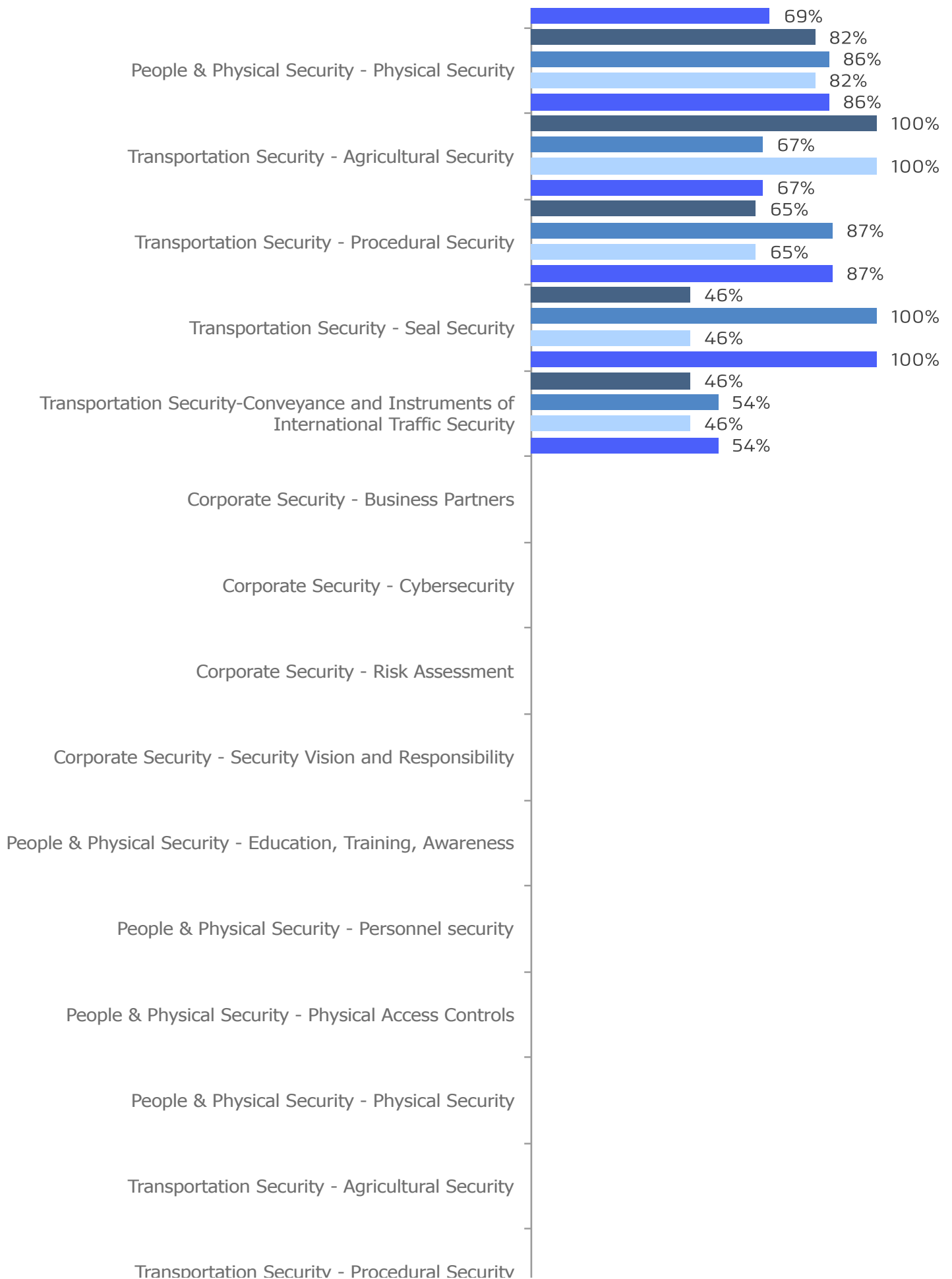
Compliance by Category

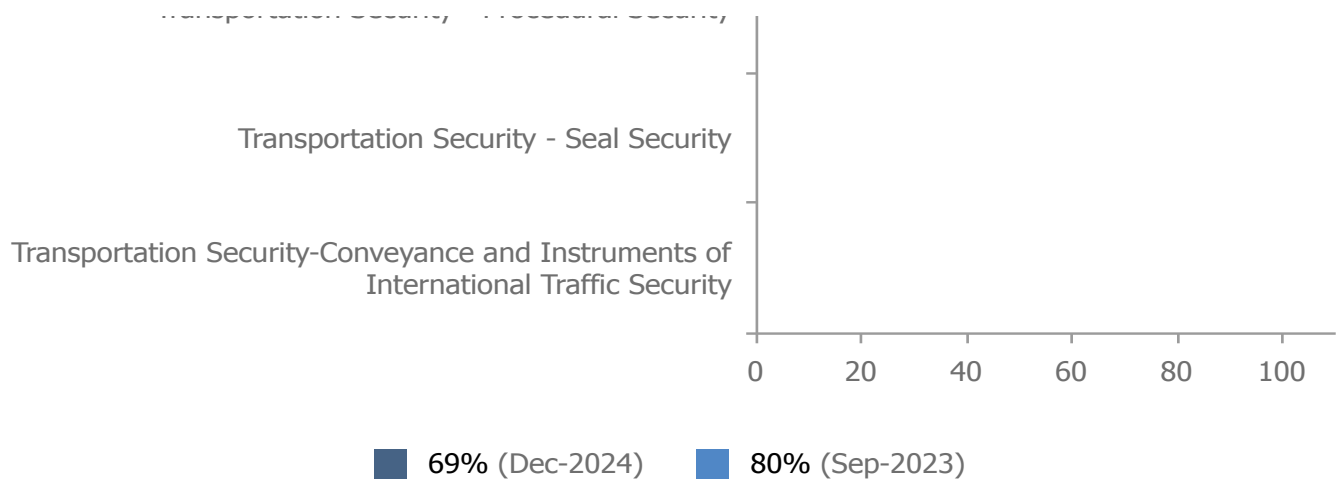


Compliance by Category - Last 2 Audits









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? No

Do you outsource any manufacturing services? No

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

Company Name	Contact Email	Contact Email	Percentage of time
Expeditors International (India) Pvt. Ltd.	Prabhat Kumar	prabhat.kumar@expeditors.org	30

Audit Responses

Audit Assigned

Oct 24, 2024



Due Date

Nov 23, 2024



Overall Compliance Score

69%

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



[Policy.pdf](#)

Comments: 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

- 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: Doc. No. XLEL/SCST/SE/06, Rev. 2, 12.9.23. Various departments include HR, Administration, Purchase, Production etc.

- 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



[Internal audit.pdf](#)

Comments: Procedure XLEL/ISA/PRO/01, Rev 2, 12.9.24. Internal audit to be carried out once in 12 months. Last carried out on 6.6.24.

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

If yes, please provide their name and contact information.

☒ ☒ Yes

☐ Expected ☐ Actual No

Comments: Name - Mr. Kazi Abdus Samad, Phone no. 9836437689, Email - sales@exelenterprises.com

Corporate Security - Risk Assessment

75%

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

☒ ☒ Yes
☐ Expected ☐ Actual No

Comments: Document no. XLEL/RA/SRA/05, Last conducted on 21.3.24. It includes Business partner requirement, Procedural security, Container security etc.

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 assessment conducted for suppliers, but not for transportation companies. Last conducted on 21.3.24.

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

Comments: Risk assessment does not include flow of cargo and the parties involved in the movement of cargo.

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

☒ ☒ Yes
☐ Expected ☐ Actual No

Comments: Last reviewed on 21.3.24.

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



[CRISIS MANAGEME... pdf](#)

Comments: Crisis management plan Doc. No. XLE/CT/CRMP/39, 10.3.22

Corporate Security - Business Partners

58%

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



[BUSINESS PARTNE... pdf](#)

Comments: Document no. XLEL/BPS/SOP/01, Rev.2, 12.9.24. It includes screening process of new and existing business partners.

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

Comments: Verified Business partner questionnaire for Alchems Dt. 21.10.24. It does not include checking of financial soundness, to ensure that there is no involvement in money laundering or the funding of terrorist organization

- 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.

- | | | |
|----------------------------------|-----------------------|-----|
| <input checked="" type="radio"/> | <input type="radio"/> | Yes |
|----------------------------------|-----------------------|-----|

☐ Expected ☒ Actual No

Comments: Certification status of business partners in a government sponsored supply chain security program is 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.

☒ Expected ☒ Actual Yes
☐ Expected ☐ Actual No

Comments: There a method in place to ensure business partners have security measures that meet or exceed the customer's minimum security criteria. Seen for Alchems and R. R. Textile. Date of assessment 21.10.24, 29.7.24.

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

☒ Expected ☒ Actual Yes
☐ Expected ☐ Actual No

Comments: Business partners required to complete security self assessment questionnaires regularly. Seen for Alchems and R. R. Textile. Date of assessment 21.10.24, 29.7.24.

- 15 **Should** Are the security self assessment questionnaires updated regularly?

☒ Expected ☒ Actual Yes
☐ Expected ☐ Actual No

Comments: The security self assessment questionnaires are updated regularly. Last updated on 2.4.24.

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

☒ Expected ☐ Actual Yes
☐ Expected ☒ Actual No

Comments: Identified security gaps of business partners are not been addressed. Verified for Alchems and R. R. Textile. Date of assessment 21.10.24, 29.7.24.

- 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: Amfori BSCI audit conducted on 22.2.23. Grade A. Valid for 2 years. Done by SGS.

Corporate Security - Cybersecurity

71%

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

If yes, please provide an attachment of the procedures.

☒ ☒ Yes
☐ ☐ No
Expected Actual



[Cyber security_policy.pdf](#)

Comments: Information security policy Date - 13.9.24, Doc. No. XLEL/IS/18, Rev. 00

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: There are security software and firewalls in place to protect IT systems, including provisions for data breaches and unforeseen events that can lead to data loss.

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 their IT system infrastructure.

21 **Should** Does the cybersecurity policy address how to share information with government agencies and business partners?

☒ ☐ Yes
☐ ☒ No
Expected Actual

Comments: The cybersecurity policy does not address how to share information with government agencies and business partners

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: There is 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

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

☒ ☒ Yes
☐ ☐ No
Expected Actual

Comments: Policy last reviewed on 13.9.24

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 function and responsibilities. Doc. No. XLEL/IS/18

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 and issued to all employees who access any IT related systems or programs. Verified for Store assistant, Officer operations.

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: Remote access not permitted.

27 **Must** Are personal devices allowed?

☒ ☐ Yes
☐ ☒ No
Expected Actual

Comments: Personal devices are not 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: As per procedure, data are backed up daily.

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: No procedure regarding disposal of IT equipment that contains sensitive information, that it is properly sanitized and/or destroyed in accordance with national security guidelines for technology

Transportation Security-Conveyance and Instruments of International Traffic Security

46%

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 Instruments of International Traffic (IIT) are stored in a secure area to prevent unauthorized access and/or manipulation at all times. Area is monitored using CCTV (2 nos.). Access restricted by stationing security guards.

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

☒ ☐ Yes
☐ ☒ No
☐ ☐ NA
Expected Actual

Comments: Security inspections carried out using 7 point container inspection on all shipping conveyances prior to loading, however it does not include agricultural inspections. Verified report date 15.4.24 and 26.4.24. Also organisation does not have inspection procedure for part container load conveyances.

- 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?

<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: Locking mechanism not inspected during conveyance inspections.

- 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



[7 POINT CONT.pdf](#)

Comments: Container inspection checklist documented. Verified for date 15.4.24 and 26.4.24.

- 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 checked="" type="checkbox"/>	Time of Inspection
<input checked="" type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	Supervisor/witness signature
<input type="checkbox"/>	<input type="checkbox"/>	Other
<input type="checkbox"/>	<input type="checkbox"/>	NA

Expected Actual

Comments: Verified inspection checklist date 15.4.24, 26.4.24. It includes container no., Date and Time of inspection, Name of employee conducting the inspection, Specific areas of inspections, Supervisor signature.

- 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

Comments: Conveyance inspections are conducted in a controlled area and monitored via CCTV cameras.

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

- ☒ ☐ Yes
☐ ☒ No
☐ ☐ NA

Expected Actual

Comments: Managers do not conduct random re-inspections of conveyances based on risk to ensure effectiveness

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

- ☒ ☒ Yes
☐ ☐ No
☐ ☐ NA

Expected Actual

Comments: *No comments were provided*

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

- ☒ ☐ Yes
☐ ☐ No
☐ ☒ NA

Expected Actual

Comments: Organisation is not involved in land border shipments

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

- ☒ ☐ Yes
☐ ☒ No
☐ ☐ NA

Expected Actual

Comments: No procedure evidenced.

Transportation Security - Seal Security

46%

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 type="checkbox"/>	Secure storage
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Inventory, Distribution, & Tracking (Seal Log)
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Recording the receipt of new seals.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Issuance of seals recorded in log. Track seals via the log.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Only trained, authorized personnel may affix seals to IIT.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Controlling Seals in Transit
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Ensure that packed IITs are sealed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	If the seal is changed by law enforcement agency--record replacement seal number.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	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.
<input type="checkbox"/>	<input type="checkbox"/>	NA

Expected Actual

Comments: Management of seal is restricted to Shipping manager. Seals are affixed to IITs by security persons and checked by shipping manager using VVTT. Tax invoice verified against receipt of new seals (SSG/22-23/109, 19.7.22). Seals are affixed by trained security Mr. Banamali Mukherjee. However, it was found that seal storage is not secured. Seals are stored in open card board small cartoon. Seal log not maintained for inventory, distribution and tracking. Seal control procedure does not include Seal control in transit, If the seal is changed by law enforcement agency--record replacement seal number and 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.

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?

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

Expected Actual

Comments: Shipments are sealed immediately for full container load. Part container loads are not secured with seals.

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.

<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



[Seal Report.pdf](#)

Comments: Certificate ref. CIL/190920001, Date 21.9.2019

Must Are there documented procedures for conducting seal inventories?

45

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

<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: No documented procedure to conduct seal inventory.

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?

<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: VVTT is implemented for all high security seals.

Transportation Security - Procedural Security

65%

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.

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

Comments: Cargo is not 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?

<input checked="" type="radio"/>	<input checked="" type="radio"/> Yes
<input type="radio"/>	<input type="radio"/> 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. Pest control record seen Date - 28.11.24, 21.11.24.

49

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

<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: Loading/stuffing of cargo into containers/IIT are supervised by a security officer or other designated person. Supervised by Mr. K. A. Samad, Shipping manager, Mr. Ganesh Chandra Mondal, Security officer.

- 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: Procedure verified for taking photographs of seals however, photographs are not taken during the loading and sealing process that document the seal number and seal location.

- 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: No procedure documented.

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

☒ ☒ Yes
☐ ☐ No
Expected Actual

Comments: Shipping documents are stored under Shipping manager r. K. A. Samad

- 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: 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. Documents are sent along with the shipment. Verified BoL 921041400017, Dt. 1.5.24.

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

☒ ☒ Yes

☐ Expected ☐ Actual No

Comments: Shipping manager Mr. K. A. Samad has been trained on 28.10.24, 16.9.24.

- 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.

☒ Expected ☒ Actual Yes
☐ Expected ☐ Actual No

Comments: Any suspicious activities or suspicious activities are first reported to Shift Security Officer, who shall report to Shipping manager and Management.

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

If yes, please provide an attachment of the procedures.

☒ Expected ☐ Actual Yes
☐ Expected ☒ Actual No

Comments: Procedures not in place to identify, challenge, and address unauthorized/unidentified persons. Shift Security incharge is responsible for the same.

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

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

☒ Expected ☐ Actual Yes
☐ Expected ☒ Actual No

Comments: Mechanism not in place to report security incidents anonymously.

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

If no, please provide an explanation as to why.

☒ Expected ☒ Actual Yes
☐ Expected ☐ Actual No

Comments: Procedure ref. XLEL/PS/26, Dt. 24.3.22. The procedure explains how to deal with shortages, overages and other significant discrepancies investigation and resolving.

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.

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 transmitted to the consignee prior to departure through mail communication.

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

☒ ☒ Yes
☐ ☐ No
☐ ☐ NA
Expected Actual

Comments: Verified Bill of lading ref. 921041400017, dt. 1.5.24. Seal no. has been electronically printed. Seal no. INA223984.

Transportation Security - Agricultural Security

100%

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



[Pest Control Report.pdf](#)

Comments: Periodical pest control carried out for prevention to pest contamination. Verified reports Dt. 21.11.24, 28.11.24.

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

☒ ☒ Yes
☐ ☐ No
Expected Actual

Comments: These procedures are compliant with Wood Packaging Materials (WPM) regulations

- 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



[Perimeter fencing.pdf](#)

Comments: Perimeter fencing encloses 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: Physical barriers are given at cargo handling and storage facilities, offices to prevent unauthorized access. Chaining is given at cargo handling areas. Barricading is provided in offices and production areas.

- 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: 3 nos. gates are there - 1 for person entry and exit, and another for container movements. Third gate is under lock and key. All the gates are manned by security persons and monitored using CCTV.

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

☒ ☒ Yes
☐ ☐ No
 Expected Actual

Comments: Private passenger vehicle are parked outside the perimeter of the organisation.

- 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.

☒ ☒ Yes
☐ ☐ No



[Lighting.pdf](#)

Expected Actual

Comments: Adequate lighting provided inside and outside the facility including in the following areas: entrances and exits, cargo handling and storage areas, fence lines, and parking 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.

☒ ☐ Yes
☐ ☒ No
Expected Actual

Comments: No written procedure in place.

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

☒ ☐ Yes
☐ ☒ No
Expected Actual

Comments: It was not evidenced that licensed resource been contracted to design and install the security technology systems.

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

☒ ☒ Yes
☐ ☐ No
Expected Actual

Comments: Security technology infrastructure are physically secured from unauthorized access. All are under security staffs and unauthorised entries and restricted.

- 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?

☒ ☒ Yes
☐ ☐ No
Expected Actual

Comments: 230 V UPS attached to security technology system. 10 mins backup. D G Set also available of 125 KVA

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

☒ ☒ Yes
☐ ☐ No
Expected Actual

Comments: CCTV system is deployed. Total CCTV installed 32 nos. covering production, packing, container storage areas.

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	



[Camera.pdf](#)

Comments: Cameras are positioned to cover key areas of the export process such as production, packing, office, container storage.

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

<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: *No comments were provided*

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: Random reviews conducted and documented. Verified carried out on 18.11.24 at 1600 hrs, 3.9.24 at 1000hrs.

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

Comments: CCTV recording are kept for 30 days

- 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.

☒ ☐ Yes
☐ ☒ No
Expected Actual

Comments: No written procedures evidenced governing how identification badges and access devices are granted, changed, and removed

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

☒ ☐ Yes
☐ ☒ No
Expected Actual

Comments: Photo ID checked but not recorded.

- 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: Photo IDs checked and recorded.

- 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



[Cargo_pick_up_log.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: Carrier notify the facility of the estimated time of arrival for the scheduled pick up, the name of the driver, and truck number

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 by Security persons.

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: They are restricted to security guard room only.

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



[Security Code of Co... pdf](#)

Comments: Work requirements for security guards contained in written policies and procedures. Doc. No. XLEL/HEC/SCC/28, Dt. 13.9.24.

People & Physical Security - Personnel security

50%

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: Application information checked prior to employment, verified for Mr. Souvik Santra, Department - Designing.

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

☒ ☐ Yes

☐ ☒ No
☐ ☐ NA
Expected Actual

Comments: Criminal history check not conducted as part of employee background checking.

People & Physical Security - Education, Training, Awareness

80%

- 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
☐ ☐ No
Expected Actual

Comments: Date of training 28.10.24, 19.6.24

- 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?

☒ ☒ Yes
☐ ☐ No
Expected Actual

Comments: Date of training - 19.6.24

- 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?

☒ ☒ Yes
☐ ☐ No
Expected Actual

Comments: Through quizzes.

- 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?

☒ ☐ Yes
☐ ☒ No
Expected Actual

Comments: No training provided on the subject

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

☒ ☒ Yes
☐ ☐ No

Expected Actual

Comments: Date of training - 19.6.24

- 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.

☒ ☐ Yes

☐ ☒ No

Expected Actual

Comments: No training record evidenced on the subject.

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

☒ ☒ Yes

☐ ☐ No

Expected Actual

Comments: Date of training - 25.7.24

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

☒ ☒ Yes

☐ ☐ No

Expected Actual

Comments: Date of training 16.9.24

- 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

Comments: Records on file shows date, time and who attend the training programs as well as material covered



[Training_record.pdf](#)