

# Walmart Supply Chain Security

## Factory General Information

Factory Id	36248766	Audit Firm Name	Omega Compliance Ltd.
Factory Name	FOSHAN DAIDE BAGS CO.,LTD	Audit Request no	15120776
Factory Address	Workshop No.5, Second Street Xialiang Development Zone Liansha Danzao Town, Nanhai District	Audit Date	8/26/2021
Factory City	Foshan	Factory Country	China
Factory State	Guangdong		

## Business Overview

Type of Industry	Bags	Product Category	covers
No: of workers	250		

## Factory Physical Structure

No: of Buildings	1	No: of Production Buildings	1
No: of Warehouses	0	Other Buildings	0

## Audit Information

Audit Type:	Initial Audit	Name of the Auditor	Ms. Andy Xiao, Compliance Auditor
Opening Meeting Attendees & Titles	Ms. Xian Xue Ping / Purchasing staff Mr. Lan Jingyou / Warehouse staff Mr. Pan Xiaoying / Shipping staff Mr. Zheng Weijie / General Support staff	Closing Meeting Attendees & Titles	Ms. Xian Xue Ping / Purchasing staff Mr. Lan Jingyou / Warehouse staff Mr. Pan Xiaoying / Shipping staff Mr. Zheng Weijie / General Support staff
Today number of audit days	1	Audit Scope	Onsite

## Audit Criteria

1. Security Vision & Responsibility	YES	7. Procedural Security	YES
2. Risk Assessment	YES	8. Agricultural Security	YES
3. Business Partners	YES	9. Physical Security	YES
4. Cybersecurity	YES	10. Physical Access Controls	YES
5. Conveyance and Instruments of International Traffic Security	YES	11. Personnel Security	YES
6. Seal Security	YES	12. Education, Training and Awareness	YES

## Signatures

Factory Representative Name	Auditor Name
Mr./Ms. Ms. Xian Xue Ping / Purchasing staff	Mr./Ms. Ms. Andy Xiao, Compliance Auditor

The listed finding(s) appended should only be considered a draft. The final report may or may not contain additional information and/or changes. Your signature on this document only represents that auditor from the respective 3rd Party Audit Firm representing Walmart has reviewed the findings with you, and that you understand them. Your signature does NOT mean that you agree with each finding. You may request your own comments be included in this document before applying your signature. Your signature also represents a commitment to achieve the proposed actions recommended by the auditor.

# Walmart Supply Chain Security

Criticality	SI. NO & CRITERIA	CHECKLIST QUESTIONS	IN COMPLIANCE	FINDINGS / OBSERVATION
<b>Security Vision &amp; Responsibility : No findings, all questions in this section are compliant</b>				
High	1: Security Vision & Responsibility	Does the facility have a written Supply Chain Security program including a Security Statement of Support that is signed by a senior company official?	YES	0
Low	2: Security Vision & Responsibility	Is the Security program reviewed on a regular basis?	YES	0
<b>Risk Assessment : No findings, all questions in this section are compliant</b>				
Medium	3: Risk Assessment	Does the facility have a written procedure regarding the risk in their supply chain?	YES	0
<b>Business Partners : No findings, all questions in this section are compliant</b>				

High	4: Business Partners	Does the facility have procedures to do a risk assessment prior to the selection of new business partners and assess current business partners on a regular basis, thereafter?	YES	<p>Finding: It was noted that the facility had a written procedure in place to conduct a risk assessment for the potential business partners before building of business relationship. However, the procedure did not mention vetting elements including address verifications, length of the time at the addresses, business references check, phone verifications, checks against applicable lists from respective government entities and the screening against money laundering and terrorist funding. In addition, the provided vetting records of business partners shown the check information including addresses, contact information and employee hiring was indicated, but there was no vetting on length of the time at the addresses, business references check, activities related to money laundering and terrorist funding and no check against applicable lists from respective government entities. Recommendation: The facility is advised to update their written policy to include the vetting elements mentioned above. In additions, it is advised to verify if any past issues of money laundering and terrorist funding from its business partners, conduct checks against applicable lists from respective government entities, length of the time at the address and business references checks when performing a risk assessment.</p> <p>CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>the facility has updated it's policy to conduct a address verifications, phone</p>
Low	5: Business Partners	Does the facility have a screening process in place to identify the legitimacy of shipments and customers?	YES	<p>Finding: It was noted that the facility had a screening process in place to identify the legitimacy of its transportation service providers, and relevant vetting records had included vetting on the provider's security control and employee hiring process. But the facility did not verify its transportation company's corporate history and did not search country government websites that flag and compile information on businesses for the any violations against local law. Recommendation: The facility is advised to screen its transportation service providers against to below criteria:</p> <ul style="list-style-type: none"> <li>a. Security controls</li> <li>b. Employee hiring process</li> <li>c. Corporate history</li> <li>d. Country government websites that flag and compile information on businesses</li> </ul> <p>CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>Based on a document review, the facility has provided a record that they facility verify security control, employee hiring process, corporate history and country government websites that flag and compile information on businesses for its transporation company.</p>
Low	6: Business Partners	Does the facility directly hire their own transportation carriers?	NA	<p>The facility did not have their own transportation carriers. The facility used one contracted transportation company.</p>

Cybersecurity : No findings, all questions in this section are compliant

High	7: Cybersecurity	Does your facility have a written comprehensive policy/procedure that covers security of IT systems (including Cybersecurity)?	YES	0
High	8: Cybersecurity	Is there a system/process in place to limit access to IT systems/data to authorized users based on job description or assigned duties, only?	YES	0
<b>Conveyance and Instruments of International Traffic Security : No findings, all questions in this section are compliant</b>				
High	9: Conveyance and Instruments of International Traffic Security	Are conveyance and/or Instruments of International Traffic (IIT) always stored in a secure area?	YES	0
Low	10: Conveyance and Instruments of International Traffic Security	Is there a procedure to check conveyances for visible pests and structural deficiencies?	YES	<p><b>Finding:</b> It was noted that the facility did not establish a written policy to check container/trailer/other IIT for visible pest contamination. In addition, the provided container inspection records did not demonstrate the pest contamination check had been conducted.</p> <p><b>Recommendation:</b> The facility is advised to establish a written policy to check container/trailer/other IIT for visible pest contamination, and conduct pest contamination check to all containers/trailers/other IITs by following the policy. Relevant inspection records/cleaning records shall be kept on the types of contaminants found, where they were found (conveyance location), how the pest contamination was eliminated and any structural deficiencies/how they were fixed, and for 6 months at least.</p> <p style="text-align: center;"><b>CAP Remediation (Desk audit) Audit: Completed</b> Date: 2021-08-26</p> <p>Based on a document check, the facility has a written policy for check container/trailer/other IIT for visible pest contamination, and check records since August 2021 were provided.</p>

High	11: Conveyance and Instruments of International Traffic Security	Is there a gate security guard or a designated facility manager that performs a container or trailer inbound inspection and the results are recorded in an inbound vehicle log?	YES	<p>Finding: It was noted that the facility did not conduct inbound inspection and there was no such record kept as proof, although they had such written policy.</p> <p>Recommendation: The facility is advised to conduct vehicle inbound inspection and keep inbound inspection log for at least 6 months.</p> <p>CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>Based on a document check, the facility has provided an inbound inspection records for 3 shipments since August 2021.</p>
High	12: Conveyance and Instruments of International Traffic Security	Is there gate security or a designated facility manager that performs truck outbound inspection and the results are recorded in an outbound vehicle log?	YES	0
Critical	13: Conveyance and Instruments of International Traffic Security	Prior to loading a container or trailer, is the integrity and security verified by performing a 7-point inspection?	YES	<p>Finding: It was noted the facility has conducted a 7-point inspection on containers before loading, and the inspection records had included date of the inspection, name of employee conducting the inspection, specific areas of the Instruments of International Traffic that were inspected. However, the records did not include time of the inspection and signature of the person supervised the inspection.</p> <p>Recommendation: The facility is advised to record time of inspection and make sure the supervisor sign on the records when container inspection is supervised.</p> <p>CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>The facility has updated container inspection format that the container inspection time was recorded for provided 4 shipments, and the supervisor signed on the 7-point inspection log.</p>
Low	14: Conveyance and Instruments of International Traffic Security	Are records for 7-point inspections kept for at least 45 days?	YES	0
Low	15: Conveyance and Instruments of International Traffic Security	Are mechanisms/external hardware used on conveyance/containers to prevent attempts to remove locking mechanisms (door, handle, rods, hasps, brackets, etc.) and are inspected to detect tampering or hardware inconsistencies?	YES	0

Medium	16: Conveyance and Instruments of International Traffic Security	Are security inspections of conveyance/containers performed in a controlled access area?	YES	The security inspections are conducted in a controlled area that is monitored by CCTV.
Medium	17: Conveyance and Instruments of International Traffic Security	Is there a procedure in place to clean/rid carrier of visible pest contamination including washing/vacuuming during inspection and documentation of contaminants found, location, and how the pest was eliminated?	YES	0
Low	18: Conveyance and Instruments of International Traffic Security	Is there a process in place for management to randomly conduct a second search of conveyances after the transportation staff have finished their initial search?	YES	<p>Finding: It was noted no evidence was available to show that the management conducted a random second inspection after the container inspector had finished their initial container inspection.</p> <p>Recommendation: The facility is advised to designate management to conduct second container inspection (at least quarterly) to make sure the initial inspection is done appropriate according to inspection requirements, and relevant random check records shall be kept and available upon request.</p> <p>CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>Based on a document review, the factory production manager signed on a 7-point inspection to show a random second inspection was conducted.</p>
Medium	19: Conveyance and Instruments of International Traffic Security	Is there a tracking and monitoring technology (i.e. GPS, telephone verification track) used to track conveyance while en route?	NA	the facility did not have their own transportation carriers.
Low	20: Conveyance and Instruments of International Traffic Security	Are sensor coupling/connector or similar technology used from the tractor to the trailer to ensure the trailer is appropriately tracked?	NA	the facility did not have their own transportation carriers.

Low	21: Conveyance and Instruments of International Traffic Security	Are routes of travel pre-designed with anticipated transit times documented prior to departure and any significant deviations of this plan are sent to the final destination?	NA	the facility did not have their own transportation carriers.
Low	22: Conveyance and Instruments of International Traffic Security	Are random reviews of the tracking and monitoring procedures conducted and documented?	NA	the facility did not have their own transportation carriers.
Low	23: Conveyance and Instruments of International Traffic Security	Does the facility have access to carrier's GPS monitoring system from origin to destination?	NA	the facility did not have their own transportation carriers.
Low	24: Conveyance and Instruments of International Traffic Security	Is there a policy in place that address a "no-stop" procedure (unscheduled stops) and during scheduled stops locks are checked?	NA	the facility did not have their own transportation carriers.
Low	25: Conveyance and Instruments of International Traffic Security	Are electronic dispatch logs (trip details) required for transporters?	NA	the facility did not have their own transportation carriers.
<b>Seal Security : No findings, all questions in this section are compliant</b>				
Critical	26: Seal Security	Does the facility follow all requirements outlines in the seal procedure including: Is there a control process to access seals?	YES	The facility follows all requirements outlines in the seal control procedure to affix a seal on the containers and the related personnel were trained with seal control knowledge and relevant seal control records were kept for verification.

Medium	27: Seal Security	Is there a mechanism to lock a container securely?	YES	The loaded containers are sealed with high security seal before leaving the facility.
High	28: Seal Security	Is there a process in place to ensure the seals meet/exceed ISO 17712 standards?	YES	0
High	29: Seal Security	Are audits conducted of the security seals including inventory of stored seals and reconciliation against inventory logs?	YES	The facility uses only carrier's seal for shipments, there is not a seal inventory at the facility.
Medium	30: Seal Security	While putting on security seals, are all required steps followed?	YES	0
<b>Procedural Security : No findings, all questions in this section are compliant</b>				
High	31: Procedural Security	Is the process of loading and stuffing of cargo properly supervised by authorized personnel?	YES	0
Medium	32: Procedural Security	Is there a process in place to identify if a stored container or trailer has potentially been tampered with and how it is reported to a security supervisor or facility management?	YES	0

High	33: Procedural Security	Does the facility have a written procedure to ensure the information on the cargo document and manifests are accurate, legible, complete and protected against tampering or loss?	YES	0
Low	34: Procedural Security	Is there an appropriate personnel appointed to review the information in the import/export documents?	YES	<p><b>Finding:</b> It was noted that no trained personnel was appointed to review the information in the import/export documents, although a import/export document check record was provided, which included checks on unusual routing methods, and vague, generalized, or a lack of information. However, some information was missing from the review records, which as below:</p> <ol style="list-style-type: none"> <li>1) originated from or destined to unusual locations;</li> <li>2) paid by cash or a certified check</li> <li>3) exhibit unusual shipping/receiving practices.</li> </ol> <p><b>Recommendation:</b> The facility is advised to train its staff to review the information in the import/export documents, and keep such review records on file. The review must including checks against suspicious information as below:</p> <ol style="list-style-type: none"> <li>a. Originated from or destined to unusual locations;</li> <li>b. Paid by cash or a certified check;</li> <li>c. Exhibit unusual shipping/receiving practices.</li> </ol> <p>CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>The facility has provided a log that one trained employee conducts a import/export documents review for 4 shipments in August 2021.</p>
Low	35: Procedural Security	Is there a proper training to the appointed personal to review import/export documents so he/she is able to identify the suspicious and illegal behaviours?	YES	<p><b>Finding:</b> It was noted that no evidence that the personnel assigned to check the import/export documents were trained appropriately.</p> <p><b>Recommendation:</b> The facility is advised to train the person who is assigned to check the import/export documents and keep training records on file. The training content must including how to check suspicious information as below:</p> <ol style="list-style-type: none"> <li>a. Originated from or destined to unusual locations;</li> <li>b. Paid by cash or a certified check;</li> <li>c. Using unusual routing methods;</li> <li>d. Exhibit unusual shipping/receiving practices;</li> <li>e. Provide vague, generalized, or a lack of information</li> </ol> <p>CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>The facility has provided a training record that the appointed personal (shipping staff), sales, warehouse staff and security guards attended the training about how to check import/export documents.</p>

Low	36: Procedural Security	Does the facility have a detailed written procedure for reporting incidents and escalation of suspicious activities or security incidents to CBP and other applicable agencies upon request?	YES	<p><b>Finding:</b> It was noted that the facility had a detailed written procedure for reporting incidents and escalation of suspicious activities or security incidents to CBP or local government authority and their clients. However, the incidents that should be reported did not include extortion, payments for protection, and unauthorized use of a business entity identifier (i.e., Importer of Record (IOR) number, Standard Carrier Alpha Code (SCAC), etc.).</p> <p><b>Recommendation:</b> The facility is advised to update the suspicious activities in its written policy to include extortion, payments for protection, and unauthorized use of a business entity identifier (i.e., Importer of Record (IOR) number, Standard Carrier Alpha Code (SCAC), etc.).</p> <p><b>CAP Remediation (Desk audit) Audit: Completed</b>  <b>Date: 2021-08-26</b></p> <p>Based on a document review, the facility has updated its policy to include extortion, payments for protection, and unauthorized use of a business entity identifier (i.e., Importer of Record (IOR) number, Standard Carrier Alpha Code (SCAC), etc.).</p>
Medium	37: Procedural Security	Is there a procedure in place to identify, challenge and address unauthorized/unidentified persons in restricted area?	YES	0
Low	38: Procedural Security	Is there a trained personnel on site to stop the unauthorized persons to the restriction area?	YES	0
Low	39: Procedural Security	Is there a mechanism for workers to anonymously report security concerns and the management team of the facility shall take necessary actions upon report?	YES	0
Medium	40: Procedural Security	Is there a policy that the facility must investigate and resolve all shortages and other significant discrepancies or anomalies within the facility?	YES	0

Medium	41: Procedural Security	Is all shipping information reconciled against information on the cargo manifest in order to prevent theft and other security issues?	YES	0
Low	42: Procedural Security	Does the facility have a process to ensure that international and domestic shipments are kept separate in the shipping area?	NA	The facility only has international shipment.
<b>Agricultural Security : No findings, all questions in this section are compliant</b>				
Medium	43: Agricultural Security	Does the facility have a written procedure to prevent visible pest contamination?	YES	0
Medium	44: Agricultural Security	Does the facility inspect warehouse, cargo staging areas and its surroundings to ensure the areas are pest contamination free?	YES	0
<b>Physical Security : No findings, all questions in this section are compliant</b>				
Medium	45: Physical Security	Do all cargo handling and storage facilities, including trailer yards and offices must have physical barriers and/or deterrents, including closed areas, that prevent unauthorized access?	YES	<p><b>Finding:</b> It was noted that a temporary finished goods storage area was located on the 1st floor of a production building, which was not physically separated from the cutting workshop that was located on the same floor.</p> <p><b>Recommendation:</b> The facility is advised to separate the temporary finished goods storage area from the cutting workshop by using of physical fencing or equivalent.</p> <p style="text-align: center;">CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>Based on provided photos, the facility has installed physical barriers for temporary</p>
Medium	46: Physical Security	Are gates where vehicles and/or personnel enter or exit (as well as other points of egress) manned or monitored?	YES	0

Low	47: Physical Security	Are individuals and vehicles subject to search in accordance with local and labor laws?	YES	0
Low	48: Physical Security	Are private passenger vehicles prohibited from parking in or adjacent to cargo handling and storage areas, and conveyances?	YES	0
Medium	49: Physical Security	Is adequate lighting provided inside and outside the facility including (as appropriate) the following areas: entrances and exits, cargo handling and storage areas, fence lines, and parking areas?	YES	0
High	50: Physical Security	Are security mechanism utilized to monitor premises and prevent unauthorized access to sensitive areas?	YES	0
Low	51: Physical Security	Does the facility have written policies and procedures governing the use, maintenance, and protection of security technology?	YES	0
Low	52: Physical Security	Did the facility utilize licensed/certified resources when considering the design and installation of security technology?	YES	0
High	53: Physical Security	Is all security technology infrastructure physically secured from unauthorized access?	YES	0

Low	54: Physical Security	Are the 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	0
High	55: Physical Security	Is CCTV utilized and recordings kept for the security inspection area, container/trailer loading area and electronic dispatch logs and meet appropriate requirements?	YES	<p>Finding: It was noted that CCTV system was used to monitor sensitive areas such as entrance, loading, packing and finished goods areas, and it recorded on a 24 hours/7 day basis with the highest picture quality setting. In addition, CCTV records of one packing area on the 3rd floor of a production building were kept for 257 days since November 2020. 4 cameras deployed to monitor the finished goods warehouses on the 6th floor of a production building, but only kept 3 days' records were maintained. Besides, the CCTV records of one parking area, the facility's entrance, perimeter fences were kept for 42 - 43 days only.</p> <p>Recommendation: The facility is advised to keep all CCTV footage for at least 45 days.</p> <p>CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>Based on provided photos, the CCTV records kept since July 1st, 2021 for entrance from audit date, and kept since July 19th, 2021 for finished goods warehouse on the 6th floor.</p>
<b>Physical Access Controls : No findings, all questions in this section are compliant</b>				
Low	56: Physical Access Controls	Are there written procedures governing how identification badges and how access devices are granted, changed, and removed?	YES	0
High	57: Physical Access Controls	Are all visitors, vendors, and service providers (including delivery drivers, cargo drop-off, etc.) required to present legal photo identification upon arrival?	YES	0
Medium	58: Physical Access Controls	Is there a log maintained of all visitors, vendors, service providers that visit the facility?	YES	0

Medium	59: Physical Access Controls	Is there a cargo pickup log (both incoming and outgoing) kept for drivers to record the details of their conveyances when picking up cargo?	YES	<p><b>Finding:</b> It was noted that the facility's shipping logs had included driver's name, date and time of arrival, truck number, time of departure and the seal number affixed to the shipment at the time of departure. However, employer and trailer number were not included on logs.</p> <p><b>Recommendation:</b> The facility is advised to record all necessary information including employer and trailer number on shipping logs.</p> <p><b>CAP Remediation (Desk audit) Audit: Completed</b>  <b>Date: 2021-08-26</b></p> <p>Based on a document review, the facility has provided a truck in/out log with all needed information.</p>
Low	60: Physical Access Controls	Is there a procedure where the facility is notified from the carrier the estimated time of arrival for the scheduled pick up, the name of the driver, and truck number?	YES	0
High	61: Physical Access Controls	Is there a process in place where arriving packages and mail are periodically screened for contraband before being admitted?	YES	0
Low	62: Physical Access Controls	Is delivery of goods or cargo limited to a specific monitored area?	YES	0
Low	63: Physical Access Controls	Are there written policies and procedures for security guards to use as work instruction?	YES	0
Medium	64: Physical Access Controls	Does management periodically verify compliance and appropriateness with written security procedures through audits and policy reviews?	YES	0

Low	65: Physical Access Controls	Does the facility have a written policy to ensure that only authorized employees are permitted access to sensitive or restricted areas?	YES	0
Low	66: Physical Access Controls	Does facility management review and update employee lists that authorized access to sensitive and restricted work areas?	YES	0
Low	67: Physical Access Controls	Does the facility have a procedure that manages all keys and cards that control the doors, locks. The card/key holders should be reviewed and checked periodically?	YES	0
Low	68: Physical Access Controls	Are the facilities buildings, fences and other areas constructed of materials that resist unlawful entry?	YES	0
Low	69: Physical Access Controls	Are the facilities access gates, exterior doors and windows secured with locking devices?	YES	0
High	70: Physical Access Controls	Does the facility have a written policy indicating that employees are not permitted to bring personal items into the final packing and shipping areas?	YES	0

Personnel Security : No findings, all questions in this section are compliant

High	71: Personnel Security	Does the facility have a written policy/procedure in place to validate employment application information or to conduct background check (as allowed under the law)?	YES	<p>Finding: It was noted that a written policy regarding background check was established by the facility, and relevant background check records had included employees' ID information, personal reference, education, permanent address and work history. However, the records shown that employees' current addresses had not been checked.</p> <p>Recommendation: The facility is advised to verify employees' current addresses when conducting a employee background check. CAP Remediation (Desk audit) Audit: Completed Date: 2021-08-26</p> <p>Based on provided document, the facility has conduct a background check including a employee's current address verification on August 12, 2021.</p>
Low	72: Personnel Security	Does the facility have a code of conduct and are employees trained on code of conduct?	YES	0
Low	73: Personnel Security	Does the facility have a written policy to require that the Employee Security Policy is reviewed every 12 months to determine if updates are necessary?	YES	0
Low	74: Personnel Security	Does the facility have a written policy to issue a photo identification card or an access card to each employee for access to the facility that must be worn at all times?	YES	0
Low	75: Personnel Security	Are personnel files maintained and updated appropriately for each employee?	YES	0
Low	76: Personnel Security	Does the facility have a written procedure that requires review of the background check?	NA	Criminal background check is not allowed by local law.

Medium	77: Education, Training and Awareness	Does the facility have a written Employee Termination policy to remove the identification badge, facility access, and system access for an employee who is terminated or resigns?	YES	0
<b>Education, Training and Awareness : No findings, all questions in this section are compliant</b>				
Low	78: Education, Training and Awareness	Does the facility have a security threat awareness training program established and maintained?	YES	0
Medium	79: Education, Training and Awareness	Does the training program include critical criteria to cover all security requirements such as access controls, Crisis Management, Threat Awareness, Contraband, Human Smuggling and Terrorism?	YES	<p><b>Finding:</b> It was noted that the security training provided to employees did not include human smuggling.</p> <p><b>Recommendation:</b> The facility is advised to include topics of human smuggling to its security training program.</p> <p><b>CAP Remediation (Desk audit) Audit: Completed</b> Date: 2021-08-26</p> <p>Based on a record check, the facility has provided a human smuggling training to all employees on August 04, 2021.</p>
High	80: Education, Training and Awareness	Does the facility conduct training to all new employees and current employees on a regular basis?	YES	0
Low	81: Education, Training and Awareness	Is there a specialized training provided to personnel annually who may be able to identify the warning indicators of Trade Based Money Laundering and Terrorism Financing?	YES	<p><b>Finding:</b> It was noted that relative personnel i.e. cashier and shipping clerks were not trained on the topic of Trade Based Money Laundering and Terrorism Financing.</p> <p><b>Recommendation:</b> The facility is advised to provide specialized training to personnel who may be able to identify the warning indicators of Trade Based Money Laundering and Terrorism Financing. The training shall be provided at least annually.</p> <p><b>CAP Remediation (Desk audit) Audit: Completed</b> Date: 2021-08-26</p> <p>Based on a record check, the facility has provided a training on the topic of Trade Based Money Laundering and Terrorism Financing on August 05, 2021.</p>

Low	82: Education, Training and Awareness	Does the awareness training inform employees of procedures to report suspicious activity or a security incident?	YES	0
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# Photo Evidence

	<p>佛山市戴德包装有限公司 货车检查记录</p> <table border="1"> <thead> <tr> <th>序号</th> <th>日期</th> <th>车牌号</th> <th>司机</th> <th>车型</th> <th>厂名</th> <th>厂址</th> <th>出厂日期</th> <th>出厂合格证</th> <th>年检合格证</th> <th>年检日期</th> <th>年检地点</th> <th>年检有效期</th> <th>年检人</th> <th>备注</th> </tr> </thead> <tbody> <tr><td>1</td><td>2023/10/12</td><td>粤A20234</td><td>陈某某</td><td>厢式货车</td><td>佛山市戴德包装有限公司</td><td>佛山市南海区</td><td>2023/08/01</td><td>合格</td><td>合格</td><td>2025/08/01</td><td>南海区</td><td>合格</td><td>陈某某</td><td></td></tr> <tr><td>2</td><td>2023/10/12</td><td>粤A20235</td><td>李某某</td><td>厢式货车</td><td>佛山市戴德包装有限公司</td><td>佛山市南海区</td><td>2023/07/15</td><td>合格</td><td>合格</td><td>2025/07/15</td><td>南海区</td><td>合格</td><td>李某某</td><td></td></tr> <tr><td>3</td><td>2023/10/12</td><td>粤A20236</td><td>王某某</td><td>厢式货车</td><td>佛山市戴德包装有限公司</td><td>佛山市南海区</td><td>2023/09/01</td><td>合格</td><td>合格</td><td>2025/09/01</td><td>南海区</td><td>合格</td><td>王某某</td><td></td></tr> 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Area/Question number Factory's name / Factory's building / Loading area Area/Question number Packing area / Finished goods warehouse

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Area/Question number Factory's security guard / Parking area / visitor badges Area/Question number CCTV system / Mail & packages check area