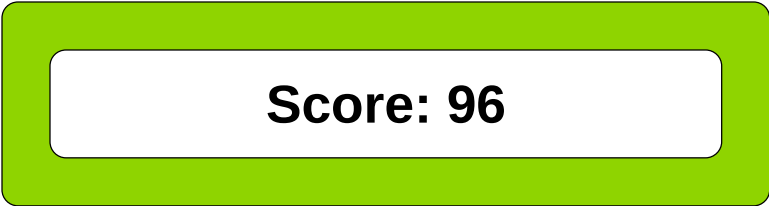


Client: WAL-MART STORES INC (Supplier Direct)	Subcontractor of:
Factory: Meiringshoop	Inspector Name: Cynthia Nhari
Country of Inspection: South Africa	Date Sent: Monday, January 19, 2015
Country Risk Rating:	Supplier ID:
Type: Initial Audit	Manufacturer ID (factory): 307193

Grading Summary

	Total # of points in compliance	Total # of points	Percentage Compliant
Personnel Security	12	13	92%
Threat Awareness	6	6	100%
Physical Access Controls	18	19	95%
Physical Security	28	28	100%
Container / Trailer Security	28	28	100%
Procedural Security	15	18	83%
Information Security	11	11	100%
Contractor Security	5	5	100%



Score: 96

	0 to 70	71 to 87	88 to 100	
	High Risk	Medium Risk	Low Risk	

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Critical Concerns**Physical Security****No Concerns**

N/A

Container / Trailer Security**No Concerns**

N/A

Procedural Security

71 The facility does not have a written procedure to ensure that data used to create cargo documents and manifests are accurate, legible, complete, and protected against tampering or loss.

- The facility has a written procedure to ensure that data used to create cargo documents and manifests is accurate, legible, complete, and protected against tampering or loss.
- Cargo shipping documents are kept in secure location to prevent tampering.

Information Security**No Concerns**

N/A

Contractor Security**No Concerns**

N/A

Non-Critical Concerns**Personnel Security**

3 All permanent or temporary employee applicants are not required to complete a written employment application before being considered for employment.

- Facility must require every prospective employee to complete an employment application prior to hiring.

Threat Awareness**No Concerns**

N/A

Physical Access Controls

24 The facility does not have a written procedure that requires a visitor and a pick-up/delivery driver to show photo identification before entry is permitted.

- The facility must have a written procedure requiring security staff or a receptionist to verify the photo identification of a visitor.

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Non-Critical Concerns**Physical Security****No Concerns**

N/A

Container / Trailer Security**No Concerns**

N/A

Information Security**No Concerns**

N/A

Contractor Security**No Concerns**

N/A

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Client Profile

Client contact:

Phone:

Email:

Fax:

Facility Profile

Facility Meiringshoop

Address: Meiringshoop, Mooigezicht Estates, De Doorns,
Western Cape
Cape Town
South Africa

Contact(s) Ian Prins

nomfuneko_nomzaza@cafespan.co.za

Inspection Number: 257410

Primary office or parent company address (if different from above):

Voetrekker road De Droons

Name of the company from which facility receives orders to produce client goods:

Cape Span

Name of the company that pays this facility for production of client goods:

Cape Span

Length of time producing for client (from year of first order):

7 years

Name and title of person in charge of security program at this facility:

Ian Prins

Previous security inspection:

☐ Yes ☒ No

Date of prior security inspection:

N/A

Grade of prior security inspection:

N/A

Audit Profile

Inspection team:

Cynthia Nhari

Date:

Thursday, January 15, 2015

Time In / Time out:

8:00-13:40

The audit is:

☒ Scheduled Appointment ☐ Unannounced

Was the facility prepared for the inspection?

☒ Yes ☐ No

If 'No', what was the impact on the inspection:

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Service Providers

* Concerns in Red

Land Carriers (Trucking) Profile

How does the facility ship goods to the client (from this location)?	☒ Full container load (FCL) ☐ Less than container load (LCL) ☐ Both
Which party is responsible for arranging the transportation of goods from the factory to the consolidator or port? Auditor Comments: Cape span is responsible for arranging the transportation of goods from the packhouse to the port	☐ The client ☐ The factory ☒ The vendor ☐ Other
After the goods leave the factory, where do they go? Auditor Comments: The goods go to the cooling facility HEXIKOOL	☒ The consolidator ☐ The port/airport ☐ Other
Does the facility utilize specific Land Carrier companies? Auditor Comments: The facility has their own trucks	No
How many land carriers (trucking companies) does the facility use to transport goods to the next point (i.e. to the consolidators or port of export)?	
Land carrier facility name	
Physical Address	
Country	
Phone	
Fax	
Contact Name	
Land Carrier Facility Name	
Physical Address	
Country	

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Service Providers

* Concerns in Red

Land Carriers (Trucking) Profile

Phone	
Fax	
Contact Name	

Freight Forwarders/ Consolidators

Does the facility contract specific Freight Forwarder / Consolidator companies?	Yes
How many Freight Forwarders or Consolidators does the facility use for goods? (I) (D)	1
Freight forwarder facility name	Cape Span
Physical Address	Parc Du Cap Building 1 Misspel Road 7535
Country	South Africa
Phone	021 917 2600
Fax	021 917 6789
Contact Name	N/A
Freight Forwarder Facility Name	N/A
Physical Address	N/A
Country	N/A
Phone	N/A
Fax	N/A
Contact Name	N/A

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Supply Chain Security

* Concerns in Red

Personnel Security

- | | | |
|---|--|---|
| 1 | Critical: Does the facility have a written Employee Security Policy, which includes procedures for hiring, employment application and employee documentation, and screening of new employees? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 2 | 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? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 3 | Does every permanent or temporary employee applicant complete a written employment application before being considered for employment?

All permanent or temporary employee applicants are not required to complete a written employment application before being considered for employment. | ☐ NA
☒ No
☐ Partial
☐ Yes |
| 4 | Does the facility have a written procedure to conduct a background check for an applicant applying to work in a sensitive position or a current employee working in a sensitive position? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 5 | Critical: Is the applicant's photo ID card reviewed during the application process? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 6 | Is a personnel file maintained for each employee? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 7 | 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? | ☐ NA
☐ No
☐ Partial
☒ Yes |

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Supply Chain Security

* Concerns in Red

Personnel Security

- | | |
|---|---|
| 8 Does the facility have a written procedure that requires review of the background check document every 12 months for an employee working in a sensitive position? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 9 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? | ☐ NA
☐ No
☐ Partial
☒ Yes |

Threat Awareness

- | | |
|--|---|
| 10 Does the facility have a written Threat Awareness Program to train employees about the security threat at each segment of the supply chain? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 11 Does the Threat Awareness Program train employees on how to report a security situation or incident? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 12 Does the Threat Awareness Program provide specific job related training to shipping and receiving employees? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 13 Is the Threat Awareness Training provided during new hire orientation and then every 12 months as refresher training to all employees? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 14 Are employees who report suspicious activity and security violations given some form of encouragement?

Auditor Comments:
The facility uses a incentive system | ☐ NA
☐ No
☐ Partial
☒ Yes |

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Supply Chain Security

* Concerns in Red

Threat Awareness

- 15 Are Threat Awareness Program security procedures publicized in common areas of the facility?

☐ NA
☐ No
☐ Partial
☒ Yes

Physical Access Controls

- 16 Does the facility have a written policy to ensure that only authorized employees are permitted access to sensitive or restricted areas?

☐ NA
☐ No
☐ Partial
☒ Yes

- 17 Does facility management review and update employee lists that authorize access to sensitive and restricted work areas?

☐ NA
☐ No
☐ Partial
☒ Yes

- 18 Is there a security guard or designated facility managers or supervisors designated to monitor access to the facility?

☐ NA
☐ No
☐ Partial
☒ Yes

- 19 Does the facility periodically perform an inspection of an existing perimeter fence or wall to check for damage, attempted illegal access, and needed repairs?

☐ NA
☐ No
☐ Partial
☒ Yes

- 20 Does the facility have a written procedure requiring employees to immediately report any security incident to facility management?

☐ NA
☐ No
☐ Partial
☒ Yes

- 21 Does the facility have a written policy and procedures to deny access of employees who either resign or are terminated?

☐ NA
☐ No
☐ Partial
☒ Yes

- 22 Is additional security monitoring applied for a building or structure that adjoins the facility that could enable unauthorized entry?

☒ NA
☐ No
☐ Partial
☐ Yes

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Supply Chain Security

* Concerns in Red

Physical Access Controls

- 23 Critical:** Does the facility use Closed Circuit Television (CCTV) or another surveillance method to monitor activity in sensitive areas within the facility such as receiving, shipping, final packing, main offices, the lobby, and the computer server/systems room?

☐ NA
☐ No
☐ Partial
☒ Yes

Auditor Comments:

The facility has a surveillance team that monitors activity at the facility .

- 24** Does the facility have a written procedure that requires a visitor and a pick-up/delivery driver to show photo identification before entry is permitted?

The facility does not have a written procedure that requires a visitor and a pick-up/delivery driver to show photo identification before entry is permitted.

☐ NA
☒ No
☐ Partial
☐ Yes

- 25** Does the facility have a policy to issue a serial numbered visitor badge to each visitor and maintain a Visitors Log?

☐ NA
☐ No
☐ Partial
☒ Yes

- 26** Does the facility have a written policy that all visitors are escorted while at the facility?

☐ NA
☐ No
☐ Partial
☒ Yes

- 27 Critical:** Does the facility have a written policy that requires a control log maintained for any pick-up or delivery truck arrival & departure including the driver's name, driver's license number, truck license number, reason for visit, & log is kept for 30 days?

☐ NA
☐ No
☐ Partial
☒ Yes

- 28 Critical:** Does the facility have a written policy indicating that employees are not permitted to bring personal items into the final packing and shipping areas?

☐ NA
☐ No
☐ Partial
☒ Yes

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Supply Chain Security

* Concerns in Red

Physical Security

29	Has the facility appointed in writing a company official responsible for facility, employee, and transportation security?	☐ NA ☐ No ☐ Partial ☒ Yes
30	Critical: Does the facility have a written policy that requires all security procedures are documented as either a policy or procedure?	☐ NA ☐ No ☐ Partial ☒ Yes
31	Critical: Are the facility security policies reviewed every 12 months and updated when necessary?	☐ NA ☐ No ☐ Partial ☒ Yes
32	Is a security assessment of the facility site conducted to identify weaknesses at least every 12 months? Are the weaknesses identified, recorded in a log, and corrected in a timely manner?	☐ NA ☐ No ☐ Partial ☒ Yes
33	Does the facility restrict access to cargo handling and storage areas?	☐ NA ☐ No ☐ Partial ☒ Yes
34	Are facility access gates, exterior doors, and windows secured with locking devices?	☐ NA ☐ No ☐ Partial ☒ Yes
35	Does the facility have an intrusion detection system or a security surveillance method for sensitive/controlled access areas?	☐ NA ☐ No ☐ Partial ☒ Yes
36	Critical: Does the facility have a written Access Control Program that establishes responsibility to maintain control of all locks, keys and access cards?	☐ NA ☐ No ☐ Partial ☒ Yes

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Supply Chain Security

* Concerns in Red

Physical Security

- | | | |
|----|---|---|
| 37 | Does the facility Access Control Program include a control log that accounts for all keys/access cards not issued or are issued and not returned? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 38 | Does the Access Control Program include an inventory process to account for all keys/access cards? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 39 | Are lost keys/access cards reported immediately to the facility Security Manager? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 40 | Are the facility's buildings constructed of materials that resist unlawful entry? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 41 | Does the facility have a documented process to inspect buildings for security and maintenance issues each month and to make necessary repairs? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 42 | Is the facility perimeter secured with a fence or wall or patrolled by security guards/facility management or supervisors, to deter unauthorized access? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 43 | Does facility management, the security manager, or designated security employees conduct meetings to review security alerts and discuss how to improve facility security? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 44 | Is there radio or phone communication between the central security office and any guard posts? | ☐ NA
☐ No
☐ Partial
☒ Yes |

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Supply Chain Security

* Concerns in Red

Physical Security

45 During darkness, the facility perimeter fence/wall is well illuminated?

Exception for food pack houses (regardless of risk rating of country): If the facility does not have a permanent structure then mark this question as N/A.

- ☐ NA
☐ No
☐ Partial
☒ Yes

46 Is access to outside lighting switches or controls restricted to only authorized employees or the security guard supervisor?

- ☐ NA
☐ No
☐ Partial
☒ Yes

47 Does facility management have direct communication to local law enforcement authorities?

- ☐ NA
☐ No
☐ Partial
☒ Yes

48 Are visitor and employee personal vehicles prohibited from parking near a cargo handling area, a cargo storage area, or near cargo vehicles?

- ☐ NA
☐ No
☐ Partial
☒ Yes

49 Are only facility management and a designated security guard supervisor permitted to have keys or other controls necessary to open/close facility gates?

- ☐ NA
☐ No
☐ Partial
☒ Yes

50 Are the facility's gates monitored by security guards and/or closed circuit television (CCTV)?

- ☐ NA
☐ No
☐ Partial
☒ Yes

Container / Trailer Security

51 When the facility uses a contracted consolidator to load containers or trailers, is there a written contract requiring security standards for employee hiring, perimeter security, cargo holding area security, loading dock security?

- ☒ NA
☐ No
☐ Partial
☐ Yes

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Supply Chain Security

* Concerns in Red

Container / Trailer Security

52 Critical: Does the gate security or a designated facility manager perform a container or trailer inbound inspection?

- ☐ NA
☐ No
☐ Partial
☒ Yes

53 Does the gate security or a designated facility manager perform a truck outbound inspection and the results are recorded in an Outbound Vehicle Log

- ☐ NA
☐ No
☐ Partial
☒ Yes

54 Outbound container or trailer incidents involving a seal number discrepancy or a broken security seal are reported to facility management?

- ☒ NA
☐ No
☐ Partial
☐ Yes

Auditor Comments:

The facility does not put any seals on the trailers .

55 When a seal discrepancy is discovered, does facility management or security examine the container or trailer contents for illegal cargo?

- ☒ NA
☐ No
☐ Partial
☐ Yes

Auditor Comments:

The facility does not put any seals on the trailers

56 Are empty and loaded containers or trailers kept in a secure area at the facility?

- ☒ NA
☐ No
☐ Partial
☐ Yes

57 When stored at the facility, is an empty and loaded container or trailer secured with a lock or high security seal?

- ☒ NA
☐ No
☐ Partial
☐ Yes

58 Is a stored container or trailer that has potentially been tampered with reported to a security supervisor or facility management?

- ☒ NA
☐ No
☐ Partial
☐ Yes

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Supply Chain Security

* Concerns in Red

Container / Trailer Security

- | | | |
|----|---|---|
| 59 | Is container or trailer loading supervised by either a security guard or a designated member of management to prevent introduction of non-manifested cargo? | ☒ NA
☐ No
☐ Partial
☐ Yes |
| 60 | When CCTV is used to capture container/trailer loading, is the recording kept for a minimum of 30 days? | ☒ NA
☐ No
☐ Partial
☐ Yes |
| 61 | Critical: Prior to loading is the container or trailer integrity and security verified by performing a 7-point inspection? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 62 | Is a record of the container or trailer 7-point security inspection maintained at the facility for at least 45 days? | ☒ NA
☐ No
☐ Partial
☐ Yes |
| 63 | Critical: Does the facility place an ISO 17712 High Security Seal on a container or trailer immediately after loading is completed?

The facility does not place an ISO 17712 High Security Seal on containers or trailers immediately after loading is completed.

Auditor Comments:
The facility does not put any seals on the trailers | ☒ NA
☐ No
☐ Partial
☐ Yes |
| 64 | Critical: Does the facility have a process to ensure only authorized management and the shipping supervisor has access to high security seals?

The facility does not have a process to ensure only authorized management and the shipping supervisor has access to high security seals. | ☒ NA
☐ No
☐ Partial
☐ Yes |
| 65 | Does the facility have a method to ensure that unused security seals are kept securely? | ☒ NA
☐ No
☐ Partial
☐ Yes |
| 66 | Does the facility have a written procedure for affixing, recording, and tracking high security seal use? | ☒ NA
☐ No
☐ Partial
☐ Yes |

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Supply Chain Security

* Concerns in Red

Container / Trailer Security

67 Does the facility maintain a Seal Control Log for six months?

- ☒ NA
☐ No
☐ Partial
☐ Yes

68 **Critical: Does the shipping supervisor or an authorized employee verify that the transportation documents are complete and accurate?**

- ☐ NA
☐ No
☐ Partial
☒ Yes

Procedural Security

69 **Critical: Does the facility use security methods to prevent tampering with goods during final packaging?**

- ☐ NA
☐ No
☐ Partial
☒ Yes

70 **Critical: Does the facility have a process to screen arriving packages and mail prior to distribution?**

- ☐ NA
☐ No
☐ Partial
☒ Yes

71 **Critical: Does the facility have a written procedure to ensure that data used to create cargo documents and manifests are accurate, legible, complete, and protected against tampering or loss?**

The facility does not have a written procedure to ensure that data used to create cargo documents and manifests are accurate, legible, complete, and protected against tampering or loss.

- ☐ NA
☒ No
☐ Partial
☐ Yes

72 Does the facility's shipping department maintain a record of each shipment made?

- ☐ NA
☐ No
☐ Partial
☒ Yes

73 Does the facility conduct a review of shipment information and documentation controls to verify accuracy and security?

- ☐ NA
☐ No
☐ Partial
☒ Yes

Auditor Comments:

The facility conducts a daily audit of the shipment information .

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Supply Chain Security

* Concerns in Red

Procedural Security

- | | | |
|--|---|---|
| 74 | Does the facility have a process to ensure that international and domestic cargo shipments are kept separate in the shipping area? | ☒ NA
☐ No
☐ Partial
☐ Yes |
| 75 | Does the facility require employees to report anything unusual found in a shipment or shipment documents? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 76 | Do employees use a method to count outbound cartons to identify an overage or shortage? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 77 | Does the facility have a process to ensure shipping cartons are properly labeled with item description and carton weight before loading or shipping? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 78 | Prior to selecting a highway transit carrier does the facility consider company history, driver/employee hiring procedures, and existing transit security controls? | ☒ NA
☐ No
☐ Partial
☐ Yes |
| 79 | Does the facility's written agreement with their transport company indicate preferred transit route(s) for a driver, allowable transit time limit, designated rest/meal stop locations & a process for a driver to report container or trailer security issues? | ☒ NA
☐ No
☐ Partial
☐ Yes |
| Auditor Comments:
The facility has its own trucks . | | |
| 80 | Does the facility conduct a security review of their transport company to ensure compliance with the contract? | ☒ NA
☐ No
☐ Partial
☐ Yes |

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Supply Chain Security

* Concerns in Red

Information Security

- | | | |
|----|---|---|
| 81 | Critical: Does the facility have a written policy that designates which employees are permitted access to the information systems? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 82 | Has the facility designated a system administrator responsible for establishing system users and their identity codes/user names? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 83 | Are designated computer terminal users assigned a password and are required to change their passwords periodically? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 84 | Does the systems administrator report a security incident to facility management? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 85 | Does each computer terminal close and lock after a period of inactivity? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 86 | Does the system administrator receive a report of invalid password attempts? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 87 | Does the system administrator investigate reported incidents of attempted unauthorized system access or breach? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 88 | Does the facility's information system have an intrusion warning program such as anti-virus programs? | ☐ NA
☐ No
☐ Partial
☒ Yes |
| 89 | Is the facility's data saved on a back-up system that enables restoration in the event of significant data loss? | ☐ NA
☐ No
☐ Partial
☒ Yes |

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Supply Chain Security

* Concerns in Red

Contractor Security

90 Critical: Does the facility have a written procedure regarding security vetting of service contractors who require routine or scheduled access to the facility?

- ☐ NA
☐ No
☐ Partial
☒ Yes

91 Does the facility have a procedure that provides security standards for contractor employees who enter the premises?

- ☐ NA
☐ No
☐ Partial
☒ Yes

92 Does the facility require assigning an ID badge to a contractor's employee that enters the premises?

- ☐ NA
☐ No
☐ Partial
☒ Yes

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Pictures



parking area



outside lighting



safety notices



box making area



factory overview

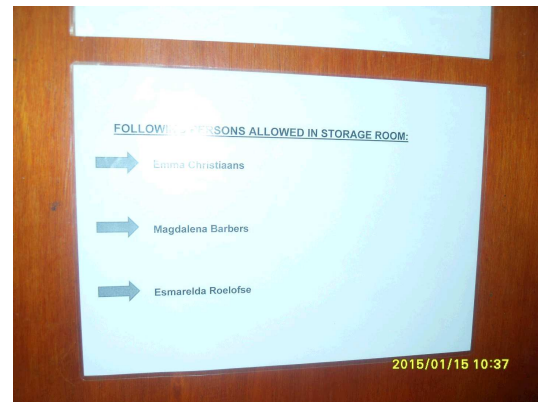


Doors

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Area	Details	Monday 10/01/2015	Tuesday 11/01/2015	Wednesday 12/01/2015	Thursday 13/01/2015	Friday 14/01/2015
Inspection Room	Fluorescent light bulbs					
	Glass bottles					
	Glass pipet					
Entrance Main hall	Fluorescent light bulbs					
	Fluorescent light bulbs					
Pre-Cooler	Fluorescent light bulbs					
	Fluorescent light bulbs					
Pack Line 1	Fluorescent light bulbs					
	Fluorescent light bulbs					
Pack Line 2	Fluorescent light bulbs					
	Fluorescent light bulbs					
Coke wash and storage Area	Spray lights					
	Spray lights					
Packaging Area	Spray lights					
	Spray lights					
Blue Storage Area	Fluorescent light bulbs					
	Fluorescent light bulbs					
Red Line (first story)	Fluorescent light bulbs					
	Fluorescent light bulbs					
Cool room 1	Fluorescent light bulbs					
	Fluorescent light bulbs					

Building inspection log books



sesnsitive areas



factory overview



safety rules



keys



pre cooler

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