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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

# 安全手册

# Safety Manual

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1

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## 修订历史记录 Document Changes

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02	2019.12.11	修订 2.0 条款增加职责定义；修订 2.6/2.7/2.8/2.9/6.1 相关条款内容。	A1	付显兰	刘劲松	陈为明
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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

# 实施令

本公司依据

Security Accreditation Scheme for UICC Production -Standard

FS.05-Security Accreditation Scheme for UICC Production-Methodology

SecuriKD Accreditation Scheme – Standard

SecuriKD Accreditation Scheme – Guidelines

Payment Card Industry (PCI) Card Production- Physical SecuriKD Requirements

Payment Card Industry (PCI) Card Production - Logical SecuriKD Requirements

UICC 生产安全认证方案-标准

FS. 05-UICC 生产方法安全认证方案

银联卡生产企业安全管理指南

银联卡个人化企业安全管理指南

编制完成了《安全手册》，现予以批准颁布实施。

《安全手册》是指导公司制卡安全纲领性文件，也是开展安全标准化活动的行动准则。公司全体员工从发布之日起应遵照执行。

总经理：

发布日期： 年 月 日

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

# 目录

## Contents

1.	公司简介 .....	7
	<b>Company Profile .....</b>	<b>7</b>
2.	安全管理体系 .....	8
2	<b>Safety Management System .....</b>	<b>8</b>
3.	参考文件 .....	24
3.	<b>References .....</b>	<b>24</b>
4.	安全管理体系的要求 .....	25
4.	<b>Requirements of Security Management System .....</b>	<b>25</b>
5	必须保留详实的记录，作为各项活动是否符合安全管理体系要求的依据。	
	管理承诺 .....	33
5	The detailed records must be kept as the evidences to check whether various activities meet the requirements of the security management system.	
	<b>Management Commitment .....</b>	<b>33</b>
6	持续改进 .....	35
6	<b>Continuous Improvement .....</b>	<b>35</b>
7	安全指南 .....	36
7	<b>Security Guidelines .....</b>	<b>36</b>
8	人力资源安全 .....	44

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4

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	四川科道芯国智能技术股份有限公司 Sichuan Keydom Smart Technology Co., Ltd		文件编号: Document No. :	KD-M-001
	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

8.	Human Resource Safety .....	44
9.	访问控制.....	46
9.	Access Control .....	46
10.	厂房安全及安全设施管理.....	47
10.	Workshop security and security facilities management .....	47
11.	产品实现过程安全管理.....	48
11.	Security Management of Product Realization Process .....	48
12.	卡及其敏感组件的安全管控.....	50
12.	Security Control of Cards and Sensitive Elements .....	50
13.	产品运输的安全管控.....	51
13.	Security Control of Product Transport .....	51
14.	安全控制变更管理.....	51
14.	Security Control Change Management.....	51
15.	数据和信息的管理.....	51
15.	Management of Data and Information .....	52
16.	网络安全.....	53
16.	Network Security.....	53
17.	办公环境信息安全管控.....	54
17.	Information Security Control of Office Environment .....	54
18.	安全事故报告及处置.....	55

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5

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

18.	Reporting and Disposal of Security Accidents .....	55
19.	业务持续性管理.....	55
19.	Business Continuity Management .....	55
20.	执行.....	56
20	Implementation .....	57

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

## 1. 公司简介

### Company Profile

四川科道芯国信息产业股份有限公司（以下简称“四川科道芯国”），是中国芯片卡行业领军企业。四川科道芯国提供的智能卡主要包括金融卡、通信卡、税控卡、社保卡、一卡通等产品，覆盖了金融、通信、交通、政府、社保、卫生等领域。在智能卡的生产过程中，四川科道芯国已保证所有的活动都务必采取安全控制的程序，按照 PCI 标准和 SAS 及银联标准的相关要求加强安全管控，不断持续满足客户和卡组织的安全要求。

Sichuan Keydom Information Industry Co., Ltd. (hereinafter referred to as "Keydom") is a leading enterprise in Chinese chip card industry. The smart cards provided by Keydom mainly include ATM cards, communication cards, fiscal cards, social security cards and all-purpose cards, etc. and cover the fields such as finance, communication, traffic, government, social security and health. In the production process of smart cards, Keydom guarantees that all activities must be taken with security control procedures and the security control must be strengthened according to the relevant requirements in PCI and SAS standards, so as to persistently and continuously meet the security requirements of customers and card organizations.

四川科道芯国秉承创造安全智慧的信息化生活的企业使命、“致力于成为客户优先选择的信息技术产品和服务提供商，消费者信赖的杰出品牌”的企业愿景，已致公司的市场逐年扩大，质量持续提升，业务蒸蒸日上。四川科道芯国未来将为更多的行业 and 客户提供更加安全、智慧的产品和服务。

Keydom adheres to the enterprise mission of creating safe and intelligent information life and the enterprise vision of "devoting itself to become a

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7

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

customer-preferred information technology product and service provider and a customer-trusted excellent brand", resulting in year-by-year expansion of the company's market, continuous improvement of the quality and flourishing of the business. Keydom will provide safer and more intelligent products and services for more industries and customers in the future.

## 2. 安全管理体系

## 2 Safety Management System

### 2.1 总则

### 2.1 General

此安全手册阐述了四川科道芯国的安全方针，适用于四川科道芯国的所有安全活动。它简述了四川科道芯国的文化结构，并提供了安全管理体系应遵从的 PCI、SAS 制卡行业相关安全标准框架指南。

This safety manual illustrates the security policies of Keydom and it is applicable to all security activities of Keydom. It introduces the cultural structure of Keydom and provides the related security standard framework guidelines of the PCI and SAS card manufacture industry which must be complied with by the security management system.

### 2.2 安全管理体系范围

### 2.2. Scope of management system

此安全手册所述的安全管理体系的范围如下：智能卡产品的制造、封装、个人化及其相关运作、活动和服务等。同时该手册是作为外部安全认证和内部安全评审的依据。

The scope of the security management system described in this safety manual

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

is as follows: manufacture, encapsulation, personalization and related operation, activities and services, etc. of smart card products. At the same time, the manual serves as the basis for external safety certification and internal safety review.

## 2.3 安全策略

### 2.3 Safety Objectives

本安全策略声明由负责工厂经营的生产中心总经理授权并传达给公司的员工。

The security policy statements and the security objectives are authorized by the general manager of the Production Center in charge of the factory operation and conveyed to the company employees.

公司最终的安全目的是保证客户各类资产的安全和企业的可持续发展。如：个人化操作的稳定性和准确性，对客户数据信息、敏感资产和相关文档进行安全保护，让客户感觉到资产的安全，并产生高度的信赖感，将公司视为长期的业务合作伙伴。

The company's final security objective is to guarantee the security of the customers' various assets and the sustainable development of the enterprise. For example, security protection is carried out for stability and accuracy of personalization operation, customer data information, sensitive assets and related documents, so as to make the customers feel the security of their assets, generate a high degree of trust and treat the company as a long-term business partner.

安全管理体系是保证客户产品安全的保障体系，四川科道芯国生产中心  
Safety management system is the guarantee system to ensure the safety of customers' products, in order to achieve these objectives, Keydom Production Center

建立了符合 SAS 安全标准和 PCI 安全标准的安全管理体系。安全管理体系

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9

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

以周期性的风险评估活动为基础，用风险评估的结果来推进安全管理体系的不断完善。通过定期的内审、纠正和预防措施活动的开展，保证安全管理体系得到持续有效的运行。

Establishes a security management system conforming to SAS and PCI security standards. The security management system is based on the periodic risk assessment activities and the risk assessment results are used to promote continuous improvement of the security management system. Regular internal audit, corrective and preventive measures are carried out to guarantee continuous and effective operation of the security management system.

## 2.4 组织架构图、职责和权限

### 2.4 Organization chart, responsibilities and authorities

#### 2.5.1 组织架构图

##### 2.5.1. Organization structure

图 1 为公司的组织机构图（文档最后页）。

Fig. 1 is the organization chart of the Company Production Center (on the final page of the document).

##### 2.5.2 职责和权限 Responsibilities and Authorities

每位员工都独立地并且共同承担相应的安全责任。Each employee independently and jointly bears corresponding safety responsibilities.

##### 2.5.2.1 总经理

##### 2.5.2.1 The General manager

- 总经理是 KD 生产的负责人，负责所有部门的管理、维护和安全。
- The general manager is the person in charge of KD production responsible for management, maintenance and security of all departments.

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- 总经理为安全管理体系代表，保证为安全管理体系的实现和改进提供足够的资源。
- The general manager is the security management system representative to guarantee supply of sufficient resources for implementation and improvement of the security management system.
- 总经理还决定安全管理体系的适当性和有效性，并确定改进区域。
- The general manager also decides the appropriateness and effectiveness of the security management system and identifies the improvement area.

### 2.5.2.2 总经理助理

#### 2.5.2.2 The General manager assistant

- 总经理助理直接向总经理报告。
- The General manager assistant directly reports to the general manager.
- 总经理助理协助总经理负责所有部门的安全管理和维护，当总经理不在公司时，代理总经理履行职责。
- The General manager assistant assists the general manager in security management and maintenance of all departments. When the general manager is absent, he acts as the general manager.
- 当事故发生或触发业务持续性计划时，总经理助理必须向总经理报告情况和进程。
- When an accident happens or the business continuity plan is triggered, the General manager assistant must report the situations and the progress to the general manager.

### 2.5.2.3 安全总监 Safety Director

- 负责建立、贯彻、实施安全管理体系，保证安全体系的正常运行和负责召

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11

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开安全管理会议以及持续改进，满足卡组织的安全标准要求。Responsible for establishing, implementing and implementing the safety management system, ensuring the normal operation of the safety system, holding safety management meetings and continuous improvement to meet the safety standard requirements of the card organization.

- 向生产中心总经理报告安全体系的运行状况和外部（卡组织和客户）对安全体系的评审结果，并提出改进意见。Report to the general manager of the production center the operation status of the safety system and the external (card organization and customer) review results of the safety system, and put forward suggestions for improvement.
- 确保各部门及每一个员工都理解总经理的安全策略、方针和目标，并意识到公司的责任。Ensure that all departments and employees understand the safety strategy, policies and objectives of the general manager and are aware of the responsibilities of the company.

#### 2.5.2.4 安全经理

#### 2.5.2.4 Security manager

- 安全经理直接向安全总监报告。负责建立、实施和维护安全管理体系。  
The security manager directly reports to the general manger of the Production Center. He shall establish, implement and maintain the security management system.
- 安全经理负责所有安全控制的设计、实现和维护。The security manager is responsible for design, implementation and maintenance of all security control measures.
- 安全经理还负责在整个生产中心推广安全意识培训，并就安全管理体系

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相关事宜与外部联系。 The security manager is also responsible for promoting the security awareness training of the whole production center and contacting the exterior on the relevant matters of the security management system.

- 安全经理负责所有安全管理体系相关事宜, 包括计划内部审核的时间表、安排外部审核和确保纠正预防行动得到及时有效地跟踪和执行。 The security manager is responsible for all relevant matters of the security management system, including the internal audit schedule of the plan, arrangement of the external audit and timely and effective tracking and execution of corrective and preventive actions.

#### 2.5.2.5 物理安全主管 Physical Security Supervisor

- 负责门禁系统、警报系统、监控系统等安防系统的管理, 确保系统正常使用。 Be responsible for the management of access control system, alarm system, monitoring system and other security systems to ensure the normal use of the system.
- 负责制定安全培训计划并组织实施。 Responsible for making safety training plan and organizing the implementation.

#### 2.5.2.6 逻辑安全主管 Logical Security Supervisor

- 负责生产网络系统的逻辑安全管理 参与生产网络系统的策划和方案制定。 Responsible for the logical safety management of production network system, participate in the planning and scheme formulation of production network system.
- 负责对生产网络系统实施安全检查, 对不符合安全要求的事项提出改进要求和建议, 并对改进效果进行跟踪。 Be responsible for the safety inspection of production network system, put forward improvement requirements and

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13

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

suggestions for the items that do not meet the safety requirements, and track the improvement effect.

#### 2.5.2.7 安全策略部

#### 2.5.2.7 Security Strategy Department

- 依据相关组织的标准和要求, 组织建立、维护和实施安全管理体系;
- Organize establishment, maintenance and implementation of the security management system based on the standards and requirements of the relevant organizations;
- 负责安全管理体系内部审核的策划、实施、纠正和预防措施的跟踪;
- Track the planning and implementation of the internal audit of the security management system and the corrective and preventive measures;
- 负责组织安全管理体系文件的制定、修订, 保证安全管理体系文件的充分性和适宜性;
- Organize preparation and revision of the security management system document and guarantee the adequacy and suitability of the security management system document;
- 负责生产过程中的安全检查, 对不符合安全要求的事项提出改进要求和建议, 并对改进效果进行跟踪;
- Take charge of security check in the production process, put forward the improvement requirements and suggestions for the items nonconforming to the security requirements, and track the improvement effect;
- 负责生产网络系统的逻辑安全管理, 参与生产网络系统的策划和方案制定;
- Take charge of logic security management of the production network system

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14

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

and participate in planning and scheme formulation of the production network system;

- 负责对生产网络系统实施安全检查，对不符合安全要求的事项提出改进要求和建议，并对改进效果进行跟踪；
- Take charge of security check of the production network system, put forward the improvement requirements and suggestions for the items nonconforming to the security requirements, and track the improvement effect;
- 负责门禁系统、警报系统、监控系统等安防系统的管理，确保系统正常使用；
- Manage the security systems such as the access control system, the alarm system and the monitoring system and guarantee normal use of the systems;
- 负责制定安全培训计划并组织实施。
- Prepare the security training plan and organize the implementation.

#### 2.5.2.8 数据部

##### 2.5.2.8 Data Department

- 负责安全管理体系各项要求在部门内的培训和实施
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责客户数据接收、生成、处理、存储、备份、删除，确保客户数据生命周期的安全。
- Receive, generate, process, store, back up and delete the customer data and guarantee the security during the customer data lifecycle.

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15

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

- 负责个人化系统数据流的管理，使之满足相关生产安全的要求，实现生产过程的数据安全性和可追溯性；
- Manage the personalization system data stream to meet the relevant production security requirements and realize the data security and traceability of the production process.
- 对研发中心提供的生产脚本进行工程化处理和试生产，及时分析生产中的质量异常情况，确保车间生产的顺利可靠进行；
- Carry out engineering processing and pilot production of the production scripts provided by the research and development center, analyze the quality abnormalities in production in time and guarantee smooth and reliable production of the workshop;
- 必要时协助信息安全事件的调查、处理工作
- When necessary, assist in investigation and handling of information security events.

#### 2.5.2.9 逻辑安全组

#### 2.5.2.9 Logical security Department

- 负责安全管理体系各项要求在部门内的培训和实施。
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责 IT 系统的策划、建设、配置和维护，保证 IT 系统的安全性和可用性。
- Take charge of planning, construction, configuration and maintenance of the IT system and guarantee the security and availability of the IT system.
- 必要时协助信息安全事件的调查、处理工作。

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16

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

- When necessary, assist in investigation and handling of information security events.

#### 2.5.2.10 人力资源部

##### 2.5.2.10 Human Resources Department

- 负责安全管理体系各项要求在部门内的培训和实施
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责员工招聘、入职、转岗、离职过程的安全管理工作。
- Take charge of security management in the staff recruitment, entry, post transfer and resignation processes.
- 负责实习生的安全管理工作。
- Take charge of security management of trainees.
- 必要时参与安全事件的调查、处理工作
- When necessary, participate in investigation and handling of security events.

#### 2.5.2.11 行政部:

##### 2.5.2.11 General Management Department:

- 负责安全管理体系各项要求在部门内的培训和实施
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责访客接待过程中的行政管理工作
- Take charge of administration in the visitor reception process.
- 必要时协助安全事件的调查、处理工作
- When necessary, assist in investigation and handling of security events.

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17

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

#### 2.5.2.12 计划部

#### 2.5.2.12 Planning Department

- 负责安全管理体系各项要求在部门内的培训和实施
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责实施订单处理过程的安全管理要求
- Implement the security management requirements in the order handling process.
- 必要时参与安全事件的调查、处理工作
- When necessary, participate in investigation and handling of security events.

#### 2.5.2.13 质量管理部

#### 2.5.2.13 Quality Management Department

- 负责安全管理体系各项要求在部门内的培训和实施
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责各种质量用样卡的保管和使用，保证样卡的完整性、可用性和保密性
- Store and use various quality sample cards and guarantee the integrity, availability and confidentiality of the sample cards.
- 负责质量检验过程中的资产管理，保证资产的完整、可用和保密性
- Take charge of assets management in the quality inspection process and guarantee the integrity, availability and confidentiality of assets.
- 必要时协助安全事件的调查、处理工作

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18

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	四川科道芯国智能技术股份有限公司 Sichuan Keydom Smart Technology Co., Ltd		文件编号: Document No. :	KD-M-001
	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

- When necessary, assist in investigation and handling of security events.

#### 2.5.2.14 工艺部

##### 2.5.2.14 Process Department

- 负责生产工艺流程及工艺方面安全管理，如设计、印前制版等工艺的  
的安全管理工作
- Take charge of the production process flow and the process security management, etc., for example, security management of design and graphic pre-press;
- 负责客户打样过程的物料安全管理工作
- Take charge of material security management in the customer's sample making process.
- 负责工艺测试过程的物料安全管理工作
- Take charge of material security management in the process testing process.
- 必要时协助进行涉及工程安全事件的调查、整改工作
- When necessary, assist in investigation and rectification of security events involving the Engineering Department.

#### 2.5.2.15 仓库

##### 2.5.2.15 Warehouse

- 负责安全管理体系各项要求在部门内的培训和实施
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责物料存储过程的安全管理，保证账物一致，包括入库、存储和  
出库

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19

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

- Take charge of security management in the material storage process and guarantee the consistency between accounts and materials, including warehousing, storage and delivery out of the warehouse.
- 负责废品的入库、存储、销毁工作
- Take charge of warehousing, storage and destruction of wastes.
- 负责库存物资的盘存工作
- Take stock of the materials in stock.
- 必要时协助安全事件的调查、整改工作
- When necessary, assist in investigation and rectification of security events.

#### 2.5.2.16 各生产车间

#### 2.5.2.16 Each Production Workshops

- 负责安全管理体系各项要求在部门内的培训和实施
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责生产过程中的安全管理，保证账物一致，包括卡片制造、封装和个人化、最终包装过程。
- Take charge of security management in the production process and guarantee the consistency between accounts and materials, including manufacture, encapsulation, personalization and final packaging processes of cards.
- 负责生产过程中废品的处理工作，按安全管理要求实施再个人化。
- Handle the wastes in the production process and implement re-personalization according to the security management requirements.
- 负责生产过程中的物料审计工作

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20

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

- Audit the materials in the production process.
- 必要时协助安全事件的调查、整改工作
- When necessary, assist in investigation and rectification of security events.

#### 2.5.2.17 设备管理部:

##### 2.5.2.17 Equipment Management Department

- 负责安全管理体系各项要求在部门内的培训和实施
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责断电后柴油发电机开启、日常维护、点检等工作
- Take charge of starting, routine maintenance and spot check, etc. of diesel generators after power failure.
- 必要时协助安全事件的调查、整改工作
- When necessary, assist in investigation and rectification of security events.

#### 2.5.2.18 采购部:

##### 2.5.2.18 Procurement Department:

- 负责安全管理体系各项要求在部门内的培训和实施
- Take charge of training and implementation of various requirements of the security management system in the department.
- 负责实施采购处理过程的安全管理要求
- Implement the security management requirements for the procurement process.
- 必要时参与安全事件的调查、处理工作
- When necessary, participate in investigation and handling of security events.

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21

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	四川科道芯国智能技术股份有限公司 Sichuan Keydom Smart Technology Co., Ltd		文件编号: Document No. :	KD-M-001
	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

## 2.6 管理承诺 Management Commitment

### 2.6.1 通过对员工的培训、颁布安全方针和安全目标、落实安全职责和权限、配

置安全管理资源，使安全管理体系能得到有效的执行，确保公司达到相关

组织和客户的安全标准要求。Through the training of employees, the

issuance of safety policies and safety objectives, the implementation of safety

responsibilities and authorities, and the allocation of safety management

resources, the safety management system can be effectively implemented to

ensure that the company meets the safety standards of relevant organizations

and customers.

### 2.6.2 公司最高管理承诺完成上列的任务，并提供相应的记录证实其任务得到了

有效的执行。The top management of the company promises to complete the

tasks listed above, and provides corresponding records to verify the effective

implementation of its tasks.

## 2.7 安全方针 Safety Policy

可控、可靠、规范、安全。Controllable, Reliable, Standardized and Safe.

### 2.7.1 可控 Controllable: 公司以事前防范为原则，对产品的制造封装、个人化

及其交付的每一个过程的安全风险进行预先评估，制订有效的防范措施，

保证产品在任何一个环节都能够得到控制。对产品动态、流向做到可以追

溯。Based on the principle of prevention in advance, the company pre

evaluates the safety risks in every process of product manufacturing,

packaging, personalization and delivery, and formulates effective preventive

measures to ensure that the products can be controlled at any link. The

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22

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	四川科道芯国智能技术股份有限公司 Sichuan Keydom Smart Technology Co., Ltd		文件编号: Document No. :	KD-M-001
	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

dynamic and flow direction of products can be traced.

**2.7.2 可靠 Reliable:** 公司致力培养造就全体员工的诚信和安全意识，以人为  
主地进行安全防范，每一个都能独立地并且共同承担相应的安全责任，进  
而体现出公司的诚信、可靠的形象，获得客户对公司的信赖和支持。The  
company is committed to cultivating the integrity and safety awareness of all  
employees, taking people as the main body for safety precautions, each of  
them can independently and jointly bear the corresponding safety  
responsibilities, thus reflecting the company's integrity and reliable image, and  
gaining the trust and support of customers for the company.

**2.7.3 规范 Standardized:** 公司凭借程序化、规范化、制度化管理，使安全管  
理体系能行之有效的运行，任一在体系之外的行为将自动被拒接。With the  
help of procedural, standardized and institutionalized management, the  
company makes the safety management system operate effectively, and any  
behavior outside the system will be automatically rejected.

**2.7.4 安全 Safe:** 公司的市场和产品特征决定了安全在公司的特定地位，满足  
或超越 PCI 和 SAS 的安全标准要求，保证客户产品的安全是我公司的生  
存之本，我们将为此承担责任。The market and product characteristics of the  
company determine the specific position of security in the company, meet or  
exceed the requirements of PCI and SAS security standards, and ensure the  
safety of customer products is the foundation of our company's survival, and  
we will take responsibility for this.

## 2.8 安全目标 Safety Target

● 不丢失一片卡 Don't lose a card

● 不泄露一条数据 Don't leak a piece of data

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23

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

- 个人化网络安全事故为零 Zero personalization network security incidents
- 数据安全事故为零 Zero data security incidents
- 产品实现过程安全事故为零 Zero safety accident in product process
- 产品交付过程安全事故为零 Zero safety accident during product delivery

## 2.9 安全承诺 Safety Commitment

公司作为各卡组织合格制卡商，将严格遵守支付组织的安全要求，认真保护工厂安全监控设施和网络、信息资源，通过不断地对安全监控设施进行技术改造和对网络进行安全升级维护，以期达到安全监控设施的有效运行，客户及支付组织的信息资源不受侵害，为客户提供安全、合格、满意的产品和服务。As a qualified business card maker of each card organization, the company will strictly comply with the security requirements of the payment organization, carefully protect the safety monitoring facilities, network and information resources of the factory, and constantly carry out technical transformation and safety upgrading maintenance of the network through the safety monitoring facilities, so as to achieve the effective operation of the safety monitoring facilities, and protect the information resources of customers and payment organizations from infringement Customers provide safe, qualified and satisfactory products and services.

## 3. 参考文件

### 3. References

#### 3.1 参考标准

#### 3.1 Reference standards

SecuriKD Accreditation Scheme – Standard

SecuriKD Accreditation Scheme – Guidelines

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24

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Payment Card Industry (PCI) Card Production- Physical SecuriKD Requirements

Payment Card Industry (PCI) Card Production - Logical SecuriKD Requirements

Security Accreditation Scheme for UICC Production -Standard

FS.05-Security Accreditation Scheme for UICC Production-Methodology

FS.17-Security Accreditation Scheme-Consolidated Security Requirements

FS.18-Security Accreditation Scheme-Consolidated Security Guidelines

## 4.安全管理体系的要求

### 4. Requirements of Security Management System

#### 4.1 安全管理体系 SecuriKD Management System

##### 4.1 Security management system SecuriKD Management System

公司在考虑了全部业务和风险的基础上，基于 PDCA 循环的原则建立、实施和维护安全管理体系。

The company establishes, implements and maintains the security management system based on all businesses and risks and the PDCA circulation principle.

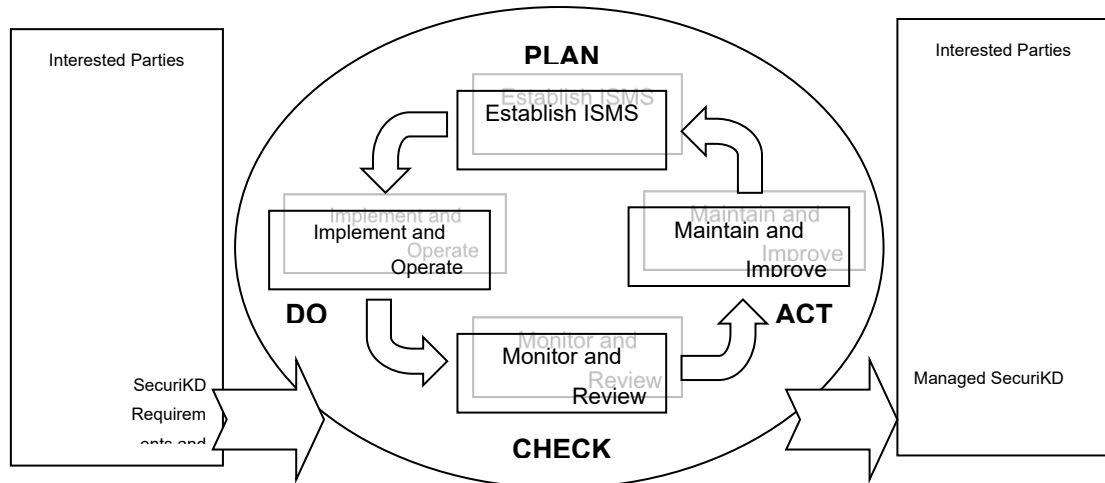
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**Figure 2 Plan-Do-Check-Act (PDCA) Model.**

## 4.2 建立和管理安全管理体系

### 4.2 Establishing and managing the security management system

#### 4.2.1 建立安全管理体系

##### 4.2.1 Establish safety management system

##### 4.2.1.1 根据业务、组织机构、位置、资产和技术的特点定义安全管理体系的范围。

范围见 1.2。

##### 4.2.1.1 Define the scope of the security management system according to the characteristics of businesses, organizations, locations, assets and technologies.

For the scope, refer to 1.2.

- 根据业务、组织机构、位置、资产和技术的特点定义安全管理体系策略
- Define the strategies of the security management system according to the characteristics of businesses, organizations, locations, assets and technologies.
- 包括设置目标的框架，建立全局的方向和安全有关的行动准则。
- Include the framework for setting goals, and establish the global direction and the security-related action criteria.

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- 考虑经营和法律或法规要求、和安全义务。
  - Consider operation and requirements of laws or regulations and security obligations.
  - 建立组织机构和安全管理体系统，建立和维护风险管理制度
  - Establish the organization and the security management system and establish and maintain the risk management system.
  - 建立评估风险和定义风险的标准。
  - Establish the standard to evaluate and define the risks.
  - 采用评估和管理风险的系统方法。 风险管理流程的最终目标就是使所有与四川科道芯国经营有关的安全风险保持可控的水平。 风险管理流程阐述如下：
  - Adopt the system method to evaluate and manage the risks. The final objective of the risk management flow is to keep all security risks related to operation of Keydom at a controllable level. The risk management flow is illustrated as follows:
- 4.2.1.2 确认和评估风险处理选项。
- 4.2.1.2 Identify and evaluate the risk treatment options.
- 4.2.1.3 风险管理流程，帮助确认和降低组织机构、经营、技术和环境变化过程中出现的风险。
- 4.2.1.3 The risk management flow helps to identify and reduce the risks incurred in the organization, operation, technological and environmental change processes.
- 4.2.1.4 基于确认的风险，选择适当的控制目标和控制措施。
- 4.2.1.4 Select suitable control objectives and control measures based on identified risks.
- 4.2.1.5 风险评估完成后，形成风险处理计划，确认适当的管理行动、职责和管理安全风险的优先级。 所有提出的其他风险和风险处理由管理层批准。

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4.2.1.5 After completion of risk assessment, form a risk treatment plan and identify the priorities of appropriate management actions, responsibilities and management security risks. All other mentioned risks and risk treatment will be approved by the management layer.

4.2.1.6 评估和管理风险的方法详情见《风险评估管理程序》。

4.2.1.6 For details of the risk assessment and management method, refer to Risk Assessment Management Procedures.

## 4.2.2 安全管理体系的实现和运行

### 4.2.2 Realization and operation of security management system

4.2.2.1 为了达到确认的控制目标，公司高管提供资源并支持实现风险处理计划。应包括以下：

4.2.2.1 In order to achieve the identified control objectives, the company's senior manager provides resources and supports implementation of the risk treatment plan. It shall include:

- 资金的考虑
- Consideration of funds
- 角色和职责的分配
- Assignment of roles and responsibilities
- 意识培训计划和企业长期目标
- Awareness training plan and long-term enterprise objective

4.2.2.2 公司积极推进安全管理体系的运行，建立快速发现和响应安全事故的机制和能力。

4.2.2.2 The company shall actively promote operation of the security management system and establish the mechanisms and capabilities of quickly discovering and

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

responding to security accidents.

#### 4.2.3 监控和审核安全管理体系

#### 4.2.3 Monitoring and auditing the security management system

##### 4.2.3.1 公司执行监控程序和适当的控制以:

##### 4.2.3.1 The company shall execute the monitoring procedures and proper control to:

- 迅速发现处理错误的情况。
- Quickly discover the error processing situations.
- 迅速确认安全漏洞。
- Quickly identify the security vulnerabilities.
- 确定指定给某人或某技术措施实现的安全活动，是否按照预期执行。
- Confirm whether the security activities designated to certain persons or certain technical measures are executed as expected.
- 确定采取的行动解决了安全漏洞，反映了业务的优先性。
- Confirm that the actions taken address the security vulnerabilities and reflect the business priorities.

##### 4.2.3.2 公司定期对安全管理体系（包括安全策略和目标、和安全控制措施）的效力进行审核，应综合考虑安全审核的结果、事故、建议和所有感兴趣各方的反馈。

##### 4.2.3.2 The company shall audit the efficacy of the security management system (including security strategies and objectives and security control measures) regularly and shall give comprehensive consideration to the security audit results, accidents, suggestions and feedback of all interested parties.

##### 4.2.3.3 按照计划的时间，进行内部安全管理体系审计，以确定安全管理体系的控制目标、流程和程序是否:

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

4.2.3.3 Audit the internal security management system according to the scheduled time, so as to confirm whether the control objectives, flows and procedures of the security management system:

- 符合标准和相关法律法规的要求
- Meet the requirements in the standards and relevant laws and regulations;
- 符合确定的安全要求
- Meet the determined security requirements;
- 实现和维护的既定效力
- Realize and maintain the established efficacy;
- 按照预期的目标和方向执行
- According to the expected objective and direction.

4.2.3.4 详情请参见《安全检查内部审核作业指导》。

4.2.3.4 For details, please refer to Operation Guidelines for Internal Audit of Security Check.

### 4.3 文件要求

### 4.3 Documentation requirements

四川科道芯国生产中心所有的安全活动在预订的目的、范围、指令、方针下进行控制。 同样，受控的文件保持最新的版本，并适用部门的运作。

All security activities of Keydom Production Center are controlled under the predetermined purposes, scopes, orders and policies. Similarly, the controlled documents are kept as the latest versions and applicable to the operation of the departments.

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

安全管理体系文件分为 4 个级别：

The security management system documents are divided into 4 levels:

- 1 级：安全手册
- Level 1: safety manual
- 2 级：安全运作程序、方针以及相关安全管控标准
- Level 2: safe operation procedures and policies as well as relevant security control standards
- 3 级：工作细则和其他安全操作指引
- Level 3: work rules and other safe operation guidelines
- 4 级：记录
- Level 4: records

#### 4.3.1 文档级别

##### 4.3.1 Document level

###### 4.3.1.1 1 级：安全手册

###### 4.3.1.1 Level 1: safety manual

本手册描述如何满足安全管理体系的要求、管理框架、适用范围、相关程序、安全管理体系里涉及的流程和他们的交互关系。

This manual describes how to meet the requirements of the security management system, the management framework, the scope of applicability, the relevant procedures, the process involved in the security management system and their interactive relationship.

###### 4.3.1.2 2 级：安全运作程序、方针以及相关安全管控标准

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

#### 4.3.1.2 Level 2: safe operation procedures and policies as well as relevant security control standards

- 程序定义的执行流程和必需的资源。方针和制度定义推荐的/强制措施。
- Execution flow defined in the procedures and necessary resources.

Recommended/mandatory measures defined in policies and systems.

- 这些文档与本手册一起为安全管理体系的输出。
- These documents and this manual are output of the security management system.

#### 4.3.1.3 3 级：工作细则和其他安全操作指引

#### 4.3.1.3 Level 3: work rules and other safe operation guidelines

这些文档为特别的任务或活动的详情作业指导。

These documents are detailed operation instructions for special tasks or activities.

#### 4.3.1.4 4 级：记录

#### 4.3.1.4 Level 4: records

保留记录作为安全管理体系的有效操作证明，并通过分析记录数据来确认改进区域。

Keep the records as effective operation certificates of the security management system and analyze and record the data to identify the improvement area.

### 4.3.2 文档控制

### 4.3.2 Document control

安全管理体系文档的批准、分发和控制 在《文件、数据、记录管理规定》里有明确的定义。

Approval, distribution and control of the security management system

documents are clearly defined in Regulations on Management of Documents,

Data and Records.

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

#### 4.3.3 记录控制

#### 4.3.3 Record control

**5** 必须保留详实的记录，作为各项活动是否符合安全管理体系要求的依据。

管理承诺

**5** The detailed records must be kept as the evidences to check whether various activities meet the requirements of the security management system.

### Management Commitment

公司管理层承诺提供足够的资源，支持建立、实施、审核、维护和持续改进安全管理体系，以达到安全管理体系策略里所述的目标。

The company management commits to provide adequate resources and support establishment, implementation, audit, maintenance and continuous improvement of the security management system to achieve the objective described in the security management system strategy.

#### 5.1 资源管理

#### 5.1 Resource Management

##### 5.1.1 资源制度

##### 5.1.1 Resource system

公司的策略决定和提供需要的资源以：

The company's strategies determine and provide the required resources to:

- 建立、实现、和维持安全管理体系。
- Establish, realize and maintain the security management system.
- 保证安全程序执行业务要求。
- Guarantee that the security procedures execute the business requirements.
- 确认和陈述法律法规要求和签订的安全义务。

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

- Confirm and state the requirements of laws and regulations and the signed security obligations.
- 通过所有已实现的控制，和正确应用来保证足够的安全。
- Guarantee sufficient security through all realized control measures and proper use.
- 必要时进行审核，并对审核结果进行适当的响应。
- When necessary, audit them and respond to the audit results properly.
- 改进安全管理体系的效力。
- Improve the efficacy of the security management system.

#### 5.1.2 培训、意识和能力

#### 5.1.2 Training, awareness and capability

##### 5.1.2.1 公司保证分配给安全管理体系里定义责任人所需要完成的任务：

##### 5.1.2.1 The company guarantees assignment of tasks to be completed to the

responsible persons defined in the security management system:

- 确定执行工作的人员需具备的能力以改进安全管理体系。
- Confirm that the personnel executing the works have capabilities to improve the security management system.
- 提供足够的培训，如果必要，雇佣有能力的人以满足这些要求。
- Provide adequate training. If necessary, employ competent persons to meet these requirements.
- 评估提供的培训和采取行动的效力。
- Evaluate the efficacy of the provided training and the taken actions.
- 保留教育、培训、技能、经验和资质的记录
- Keep the records for education, training, skills, experiences and qualifications.

##### 5.1.2.2 公司还保证，所有相关人员已意识到安全活动的实用性和重要性，并了解

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

他们应怎样对管理体系目标的实现做出贡献。 请参见《人员安全管理标准》5.7 安全培训章节。

5.1.2.2 The company also guarantees that all relevant personnel are aware of the practicability and importance of security activities and know how they make contributions to realization of the objectives of the management system. Please refer to 5.7 Security training of Personnel Security Management Standard.

## 6 持续改进

## 6 Continuous Improvement

6.1 安全委员会由公司总经理、安全总监、安全经理和各部门负责人组成，公司定期（通常为每季度一次）召开安全委员会管理会议，安全委员会:负责日常安全工作的总结及各部门提出的改善性的建议、现有安全管理工作中潜在的重大安全风险、日常安全工作运行过程中所遇到的阻碍等等；通过跨职能组建的安全委员会会议，全面了解现有安全管理的状况以及推动安全问题的解决，从而不断地持续改进安全管理体系。

6.1 The company holds the management meetings of the Security Committee regularly (usually once every quarter), and the contents of the management meetings include summarization of daily security works, improvement suggestions put forward by each department, potential major security risks in the existing security management works, and obstacles encountered in the operation process of the daily security works, etc. Through the meetings of the cross-functional Security Committee, the company fully understands the existing security management conditions and promotes settlement of security problems,

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so as to persistently and continuously improve the security management system.

6.2. 公司通过使用安全策略、安全目标、审计结果、分析监控的事件、纠正预防行动和管理审核来持续改进安全管理体系的效力。

6.2 The company shall improve the efficacy of the security management system continuously by using security strategies, security objectives, audit results, analyzed and monitored events, corrective and preventive actions and management audit.

6.3 公司针对问题、事故、不符合、潜在问题执行纠正预防行动，以纠正问题或避免问题再次发生。详情参见《安全检查内部审核作业指导》纠正预防章节。

6.3 The company shall execute corrective and preventive actions against problems, accidents, nonconformance and potential problems, so as to correct problems and avoid reoccurrence of problems. For details, please refer to the correction and prevention section of Operation Guidelines for Internal Audit of Security Check.

6.4 预防行动的优先级根据风险评估的结果而定。

6.4 The priorities of preventive actions shall be determined according to the risk assessment results.

## 7 安全指南

## 7 Security Guidelines

### 7.1 介绍

### 7.1 Introduction

本部分定义安全管理体系实现最重要的安全目标。

This part defines the most important security objective realized by the security management system.

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## 7.2 适用范围

## 7.2 Scope of application

本部分提到的安全目标适用于 2.2 定义的范围。

The security objective mentioned in this part is applicable to the scope defined in

## 2.2.

## 7.3 GSM 卡资产管理

## 7.3 Assets management of GSM cards

### 7.3.1 概念

### 7.3.1 Concept

7.3.1.1 所有的 1 类和 2 类资产都应有管理责任人。

7.3.1.1 All Class 1 and Class 2 assets shall be provided with owners.

4.3.1.2 所有者应根据下文中规定的处理原则，负责对其所拥有的资产进行存储、归档、传输、销毁活动。

4.3.1.2 The owners shall carry out storage, filing, transmission and destruction activities of their assets according to the handling principles specified below.

7.3.1.3 所有者应明确定义访问资产的人员。

7.3.1.3 The owners shall clearly define the personnel who access to the assets.

7.3.1.4 所有者负责这些资产，并应根据其敏感性和类别保护资产或确保资产安全。

7.3.1.4 The owners are responsible for these assets and protect the assets according to their sensitivity and categories or guarantee the security of the assets.

## 7.3.2 资产的处理原则

## 7.3.2 Assets treatment principles

### 7.3.2.1 1 类资产

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### 7.3.2.1 Class 1 assets

1 类资产（信息） Class 1 assets (information)	
定义 Definitions	收到的算法 Received algorithm 个人密钥 Personal key 管理密钥 Management key 空中个人化智能卡的密钥 Key of in-flight personalized smart card 传输密钥-用来加密 Ki 的密钥 Transport key-key used to encrypt Ki 本地密钥-制造商用来管理访问进出信息的密钥 Local key-key used by the manufacturer to manage the visit and access information 客户敏感数据 Customers' sensitive data
存储 Save	信息应标记。 分类级别应写在以下： The information shall be marked. The classification shall be written on: 媒介（磁带、磁盘、碟片、CD 等） Media (tapes, magnetic disks, disks and CDs etc.) 电子信息和文件 Electronic information and documents 文件 Document 1. 易受病毒攻击的 IT 系统应定期扫描病毒 1. The IT systems vulnerable to virus attacks shall be scanned for viruses regularly. 2. 应定期监控系统的完整性。 2. The system integrity shall be monitored regularly. 3. 存储数据的 IT 系统对于数据访问应有逻辑访问控制。 3. The IT system storing the data shall have logic access control for data access. 4. 未经批准严格禁止向其他部分传输数据。

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1 类资产（信息） Class 1 assets (information)	
	<p>4. It is strictly prohibited to transmit data to other parts without approval.</p> <p>5. IT 系统和数据存储设备应设置以避免未经授权的数据/程序修改，并应每年审核。</p> <p>5. The IT system and the data storage equipment shall be set to avoid unauthorized data and program modifications and shall be audited every year.</p> <p>6. 一般来说，使用后必须立即安全删除信息。</p> <p>6. Generally, the information must be deleted safely immediately after use.</p> <p>7. 如果需要数据保留，必须取得客户批准。数据必须在锁和密钥（例如：文件放在上锁的柜子和金库里，计算机放在上锁的房间里）的双控制下并分散保存。</p> <p>7. Retention of data (if required) must be approved by the customers. The data must be under double controls of locks and keys (for example, the files shall be placed in locked cabinets and chests, and the computers shall be placed in locked rooms) and stored in a scattered manner.</p> <p>8. 信息应已加密格式存储或存储在物理安全的可移动磁盘上。</p> <p>8. The information shall be stored in encrypted format or stored in a physically secure removable disk.</p>
<b>传输</b> <b>Transmission</b>	<p>1. 在安全区外传输时，本信息应加密。</p> <p>1. The information transmitted outside the security area shall be encrypted.</p> <p>2. 公司外交付物理材料（例如：个人化了的卡片）应由授权方执行并监控。</p> <p>2. Delivery of physic materials (for example, personalized cards) outside the company shall be executed and monitored by the authorized party.</p>
<b>销毁</b> <b>Destruction</b>	<p>1. 硬拷贝或物理媒介形式的信息不再需要时应安全处理。</p> <p>1. The information in the form of hard copy or physical medium which is not needed any more shall be processed securely.</p> <p>碎纸机 Shredder</p> <p>旧磁盘和碟的销毁 Destruction of old magnetic disks and disks</p> <p>2. IT 系统里的数据应使用符合 DOD-5220.22M 的软件/算法处理避免数据恢复。</p> <p>2. The data in the IT system shall be processed using the software/algorithm conforming to DOD-5220.22M to avoid data restoration.</p>

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1 类资产（产品） Class 1 assets (products)	
定义 Definitions	完工的 GSM 卡 Completed GSM card 个人化后的 GSM 卡 Personalized GSM card  个人化的抛卡 Personalized flip card 主卡/客户卡/HSM 卡 Master card/client card/HSM card 个人化的 PIN 封 Personalized PIN encapsulation 个人化的抛 PIN 封 Personalized flip PIN encapsulation
存储 Save	需要保证资产的可用性、完整性、保密性和可追溯性。通常应在高安全区内使用上锁的物料车、柜子在 CCTV 的监视下进行存储或存储在仓库的产成品区，不允许未经授权的访问 The availability, integrity, confidentiality and traceability of assets shall be guaranteed. Usually, they shall be stored in the finished product area of the warehouse under the monitoring of CCTV using locked material trucks and cabinets in high security zones, and unauthorized access is not allowed.
传输 Transmission	需要正式的交接手续，在双控制下进行 100%计数 Formal handover formalities are required, and 100% counting shall be carried out under double controls.
销毁 Destruction	双控制下在碎卡室实施销毁 The cards shall be destroyed in the card shredding room under double controls.

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	安全手册 Safety Manual		

### 7.3.2.2 2 类资产

### 7.3.2.2 Class 2 assets

2 类资产（信息） Class 2 assets (information)	
定义 Definitions	1. 管理数据。 批次和智能卡管理信息。 包括 1 Management Data Batch and smart card management information. Including: 2. 生产数据，可能包括分类的信息 2. Production data, possibly including classification information • 可追溯信息，应允许供应商识别在一批次上工作的人 • Traceability information, enabling the supplier to identify the persons working on the same batch • 与卡片或卡片批次生产历史相关的审计信息 • Audit information related to the card or card batch production history 如果文件管理一类信息，这些信息应作为一类数据进行保护，而文件作为二类数据进行保护 In case of file management of Class 1 information, the information shall be protected as Class 1 data, while the files shall be protected as Class 2 data. 收到的文件。 如果文件包含一类信息，需要作为一类数据进行保护 Received file. If the file includes Class 1 information, it shall be protected as Class 1 data. 3. 发出的日志文件智能卡 PIN 3. Issued log file smart card PIN 4. 解锁 PUK 4. Unlock PUK 5. International Mobile Subscriber Information IMSI 5. International Mobile Subscriber Information IMSI
存储 Save	1. 信息应标记。 分类级别应写在以下： 1. The information shall be marked. The classification shall be written on: 文件 Document 媒介（磁带、磁盘、碟片、CD 等） Media (tapes, magnetic disks, disks and CDs etc.) 电子信息 and 文件 Electronic information and documents

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2 类资产（信息） Class 2 assets (information)	
	<p>2. 易受病毒攻击的 IT 系统应定期扫描病毒。</p> <p>2. The IT systems vulnerable to virus attacks shall be scanned for viruses regularly.</p> <p>3. 应定期监控系统的完整性。</p> <p>3. The system integrity shall be monitored regularly.</p> <p>4. 存储数据的 IT 系统对于数据访问应有逻辑访问控制。</p> <p>4. The IT system storing the data shall have logic access control for data access.</p> <p>5. 数据应设置以避免未经授权的数据和程序修改。</p> <p>5. The data shall be set to avoid unauthorized data and program modifications.</p> <p>6. 数据应（例如：文件放在上锁的柜子和金库里，计算机放在上锁的房间里）安全保存。</p> <p>6. The data shall be stored securely (for example, the files shall be placed in locked cabinets and chests, and the computers shall be placed in locked rooms).</p>
传输 Transmission	<p>1. 本信息应放在公司内。</p> <p>1. The information shall be placed in the company.</p> <p>如果需要传输公共媒介（例如：因特网），应采取以下行动：</p> <p>If public transmission media (for example, Internet) are required, the following action shall be taken:</p> <p>该活动应由管理者代表或总经理授权</p> <p>This activity shall be authorized by the management representative or the general manager.</p> <p>必须有书面批准/确认</p> <p>Written approval/confirmation must be provided.</p> <p>数据必须以加密形式传输</p> <p>The data must be transmitted in encrypted form.</p> <p>2. 对该数据的访问仅限于授权人员。 如果需要由未授权人员访问，必须有书面批准/确认。</p> <p>2. Access to the data is restricted to the authorized personnel only. Access by unauthorized personnel (if required) must be provided with written approval/confirmation.</p> <p>3. 物理文档或媒介仅能在部门范围内访问，除非数据所有者或安全员授权。</p> <p>3. Physical documents or media are only accessible within the scope of the department unless otherwise authorized by the data owner or the security officer.</p>

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42

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2 类资产（信息） Class 2 assets (information)	
<b>销毁</b> <b>Destruction</b>	<p>1. 硬拷贝或物理媒介形式的信息不再需要时应安全处理。</p> <p>1. The information in the form of hard copy or physical medium which is not needed any more shall be processed securely.</p> <p>碎纸机 Shredder</p> <p>旧磁盘和碟的销毁 Destruction of old magnetic disks and disks</p> <p>2. IT 系统里的数据应使用符合 DOD-5220.22M 的软件/算法处理避免数据恢复。</p> <p>2. The data in the IT system shall be processed using the software/algorithm conforming to DOD-5220.22M to avoid data restoration.</p>

2 类资产（产品） Class 2 assets (products)	
<b>定义</b> <b>Definitions</b>	<p>晶片。 Chip.</p> <p>在组装环节的芯片和坏芯片。 Chips and damaged chips at the assembly link.</p> <p>在组装和嵌入步骤的模块和不合格模块。 Modules and nonconforming modules at the assembly and insertion steps.</p> <p>在插件，嵌入和初始化步骤的卡 and 不合格卡 Cards and nonconforming cards at the plug-in, insertion and initialization steps.</p> <p>未个人化的 PIN 封 Non-personalized PIN encapsulation</p>
<b>存储</b> <b>Save</b>	<p>需要保证资产的可用性、完整性、保密性和可追溯性。通常应在高安全区内使用上锁的物料车、柜子在 CCTV 的监视下进行存储或存储在仓库的产成品区，不允许未经授权的访问</p> <p>The availability, integrity, confidentiality and traceability of assets shall be guaranteed. Usually, they shall be stored in the finished product area of the warehouse under the monitoring of CCTV using locked material trucks and cabinets in high security zones, and unauthorized access is not allowed.</p>

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2 类资产（产品） Class 2 assets (products)	
<b>传输</b> <b>Transmission</b>	需要正式的交接手续，在双控制下进行 100%计数 Formal handover formalities are required, and 100% counting shall be carried out under double controls.
<b>销毁</b> <b>Destruction</b>	双控制下在碎卡室实施销毁 The cards shall be destroyed in the card shredding room under double controls.

## 8 人力资源安全

### 8. Human Resource Safety

#### 8.1 人事安全

##### 8.1 Personal security

8.1.1 公司拥有正式的统一招聘程序，包括面试和背景调查，并保留每个员工的人事资料，至少包括如下信息：别名调查、最近 7 年的居住地址、最近 7 年的工作单位及其证明人、工作间隙的合理的解释、教育经历、无犯罪记录调查、信用调查等等。所有入职员工在入职前应签署保密协议和安全声明。

8.1.1 The company has formal uniform recruitment procedures, including interviews and background investigation, and keeps the personnel information of each employee, at least including: investigation of another names, residential addresses in recent 7 years, employers and certifiers in recent 7 years, reasonable explanations of the working gaps, education experiences, investigation of no criminal records and credit investigation, etc. All recruits shall sign the confidentiality agreement and the security declaration before entry.

8.1.2 所有访客如要访问 HSA 区域，未经访问区域经理和安全经理同意，不得入内，且在访问之前务必登记；访客在厂区内务必随时有人陪同。

8.1.2 All visitors who will visit the HSA area shall obtain the permission of the visit area manager and the security manager before entry and must be registered

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before visit; and the visitors must be accompanied from time to time when they are in the plant area.

## 8.2 消极行为员工的报告流程

### 8.2 Reporting flow of negative behaviors

8.2.1 四川科道芯国员工在厂区内发现或听到有可能会损坏公司利益的行为时,应通过电话,匿名信的形式告知人力资源部门或安全策略部门。

8.2.1 When Keydom employees discover or hear any behaviors which may damage the company's interests in the plant area, they shall inform the HR Department or the Security Strategy Department through phone calls or anonymous letters

8.2.2 在接到员工报告的内容后, 应严格保密该名员工报告行为的所有信息, 以保护报告人的正当权益。

8.2.2 After receipt of the employee's report, all information of such employee's reporting behavior shall be kept strictly confidential to protect the reporter's legitimate rights and interests.

8.2.3 通过调查并查实的信息, 应填写调查报告, 如与被调查人员有切身关系, 需告知被调查人处理结果。

8.2.3 The investigation report shall be filled in with the investigated or verified information. If it is related to the investigated personnel, they shall be informed of the treatment results.

8.2.4 经过查实, 确定为损坏公司利益的行为或人员, 可以对报告人进行奖励。

8.2.4 If the behaviors or personnel are determined as damaging the company's interests through verification, the reporters can be rewarded.

8.3 更为详尽的规定, 见《人员安全管理标准》。

### 8.3 For more detailed regulations, refer to Personnel Security Management

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45

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

Standard.

## 9.访问控制

### 9. Access Control

除厂房外围供货物卡车进出的门和消防门外，所有人员都凭门禁卡访问各区域，且要求一个接一个刷卡访问。

Except the doors for goods trucks to enter and leave at the periphery of the workshop and the fire doors, all personnel shall visit each area by swiping access cards one by one.

9.1 只要进入单人通道后便进入高安全区域。

9.1 You can enter the high security zone after entering into the single-person passage.

9.2 这些区域的所有门都配备自动关门和锁门设备。

9.2 All doors of these areas shall be equipped with automatic door closing and locking equipment.

9.3 对需要进入限制区的员工建立正式的登记和注销程序。

9.3 The formal registration and logoff procedures shall be established for the employees who need to enter into the restricted areas.

9.4 授权人员之外的所有员工不得允许其他人、访客（包括其他员工）尾随进入限制区。

9.4 All employees other than the authorized personnel shall not allow any other persons or visitors (including other employees) to tail after them and enter into the restricted areas.

9.5 每位员工都发有门禁 ID 卡，仅供其本人使用。

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46

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

9.5 Each employee shall be distributed with an access ID card for his own use only.

9.6 安全策略部对访问控制系统进行管理和维护，保证其正常运行。

9.6 The Security Strategy Department shall manage and maintain the access control system and guarantee its normal operation.

9.7 有关人员进出、门禁系统、钥匙和密码的访问管理的详细内容在《人员安全管理标准》中说明

9.7 The details of access management of relevant personnel entry & exit and access control systems, keys and passwords are described in Personnel Security Management Standard.

## 10. 厂房安全及安全设施管理

### 10. Workshop security and security facilities management

10.1 公司在厂房的适当位置设置了围墙、门禁系统、户外红外探测器、室内移动探测器、闭路电视（CCTV）、胁迫按钮等安防设施，以保证厂区的安全。

10.1 The company shall arrange the security facilities such as fences, access control systems, outdoor infrared detectors, indoor movable detectors, closed circuit televisions (CCTV) and threat buttons, etc. at proper locations of the workshop.

10.2 所有员工需及其它人员未经安全经理或总经理许可不得擅自对各安防设备实施调整、变更等行为，更不得故意损坏。

10.2 All employees and other personnel shall not implement the behaviors such as adjustment and changes and even malicious damages of each piece of security equipment without permissions of the security manager or the general manager

10.3 员工若发现设施异常，应及时报告安全策略部。

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47

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

10.3 The employees shall report the abnormalities of facilities discovered by them to the Security Strategy Department in time.

10.4 所有安防设施都由 UPS 供电，UPS 电池在电网断电后可维持 1 个小时，这期间设备部门将启动备用柴油发电机，以保证安防设施在断电后可运行 48H。

10.4 All security facilities shall be powered by UPS, the UPS batteries can last 1h after power failure of the power grid, and during such period, the Equipment Department will start the backup diesel generators to guarantee 48H operation of the security facilities after power failure.

10.5 安全策略部负责对安防设施进行定期检查，以保证其正常运行。

10.5 The Security Strategy Department shall check the security facilities regularly to guarantee their normal operation.

10.6 有关厂房安全及安全设施管理的详细内容在《安防控制管理标准》中说明。

10.6 The details of the relevant workshop security and security facilities management are described in Security Control Management Standard.

## 11.产品实现过程安全管理

### 11. Security Management of Product Realization Process

11.1 物料从基片入库开始，到产品版面报批控制、计划下单、卡基生产、封装个人化及补卡、发货、废品销毁整个产品生产周期的物料安全控制，均要符合安全管控标准要求。

11.1 The material security control during the whole product production cycle from warehousing of substrates to submission for approval and control of the product layout, planning and ordering, production of card substrates, encapsulation

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

personalization, card reissuance, delivery of goods and destruction of wastes shall meet the requirements in the security control standards.

11.2 在整个物料的流转过程中, 需明确指定物料的保管责任人, 涉及到交接的, 需要在双控制下实施计数, 并进行正式的交接。

11.2 In the whole material turnover process, the material custodian to be designated clearly and involving handover shall implement counting under double controls and carry out formal handover.

11.3 对于卡片生产过程中所使用的菲林、印刷版及设计媒体, 同样需要进行适当的管理以防止泄漏和非授权的使用。

11.3 For films, printing plates and design media used in the card production process, proper management is required to prevent leakage and unauthorized use.

11.6 物料专员需监控物料流转的每一个环节, 并及时对每一订单、计划单的物料数量进行审计, 发现数量差异应立即报告计划经理、安全经理处理。

11.6 The material specialists shall monitor each link of material turnover, audit the material quantities of each order and schedule in time, and report the differences of quantities discovered by them to the planning manager and the security manager in time.

11.7 有关产品实现过程的详细的安全管控要求, 请参考《产品实现过程安全管理标准》。

11.7 For detailed security control requirements for the product realization process, please refer to Security Management Standard of Product Realization Process.

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49

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

## 12.卡及其敏感组件的安全管控

### 12. Security Control of Cards and Sensitive Elements

12.1 全息标、签名条、金银箔、安全芯片、个人化色带、特殊凸字模等均属于敏感材料或组件，其采购入库、交接、领用、在线保存到销毁整个生命周期安全管控，请参考《卡及其敏感组件的安全管理标准》；

12.1 Hologram marks, signature strips, gold and silver foils, security chips, personalized color tapes and special convex matrixes, etc. belong to sensitive materials or elements. For security control during the whole life cycle from procurement, warehousing, handover, acquisition, online storage to destruction, please refer to Security Management Standard of Cards and Sensitive Elements;

12.2 样卡的领用和使用，务必建立相关的安全管控流程，规避非正常生产物料的非规范的领用和使用所带来的安全风险，确保其资产均在安全管理体系受控状态，详见《卡及其敏感组件的安全管理标准》。

12.2 Relevant security control flow must be established for acquisition and use of sample cards, so as to avoid security risks arising from non-standard acquisition and use of abnormal production materials and guarantee that the assets are in the controlled state of the security management system. Refer to Security Management Standard of Cards and Sensitive Elements for details.

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50

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

## 13.产品运输的安全管控

### 13. Security Control of Product Transport

13.1 产品运输安全管控涵盖产品发货控制、出门控制、陆运/空运要求、承运商产品安全控制等等。详情请参考《产品安全运输管理标准》。

13.1 Transport security control of products cover delivery control of products, ex-factory control, land/air transport requirements and carriers' product security control, etc. For details, please refer to Management Standard for Safe Transport of Products.

## 14.安全控制变更管理

### 14. Security Control Change Management

14.1 任何涉及安全控制流程和相关设备的变更，务必按照《安全控制变更管理流程》执行。

14.1 Any changes involving security control flow and relevant equipment must be executed according to Security Control Change Management Flow.

14.2 任何安全控制变更务必得到安全策略部的批准后方可实施变更，变更实施后安全策略部务必验证其变更的有效性。

14.2 Any security control changes must be approved by the Security Strategy Department before implementation, and the effectiveness of the changes must be verified by the Security Strategy Department after implementation.

## 15.数据和信息的管理

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51

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

## 15. Management of Data and Information

15.1 信息和 IT 安全控制必须适用于生命周期管理的所有方面以保证数据进行了适当保护。总原则应为，所有敏感数据在其传输、存储、内部传输、处理和删除过程中均采取了适当的保护措施以保证敏感数据的保密性、完整性和可用性。

15.1 Information and IT security control must be applicable to all aspects of the life cycle management to guarantee proper protection of data. The general principle shall be that proper protective measures shall be taken in the processes of transmission, storage, internal transmission, processing and deletion of all sensitive data, so as to guarantee the confidentiality, integrity and availability of sensitive data.

15.2 作为个人化流程的一部分，秘密数据应安全地生成，使用的数字生成器的质量应符合公认的国际标准，并在定期基础上进行适当测试。

15.2As a part of the personalization process, the secrete data shall be generated safely, and the quality of the number generator used shall meet the recognized international standard and tested properly on a regular basis.

15.3 所有用户必须通过正式登记程序授权。

15.3 All users must be authorized through formal registration procedures.

15.4 访问权基于需要知道授予。

15.4 The access right shall be granted based on need to know.

15.5 给各用户分配唯一用户 ID。不使用共享帐户，除非授权。

15.5 Assign a unique user ID for each user No shared account shall be used without authorization.

15.6 应针对各用户帐户设置密码。

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52

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

15.6 A password shall be set for each user account.

15.7 密码应符合所规定的安全政策。

15.7 The password shall conform to the specified security policies.

15.8 管理部应定期审核访问权。

15.8 The Management Department shall audit the access right regularly.

15.9 所有未使用的帐户（例如：离职员工、测试帐户）应及时删除或失效。

15.9 All unused accounts (for example, accounts of resigned employees and test accounts) shall be deleted in time or become invalid.

15.10 关于数据管理的详尽的规定，见《生产数据管理规定》、《密钥信息安全管理标准》。

15.10 For detailed regulations on the data management, refer to Regulations on Management of Production Data and Security Management Standard of Key Information.

## 16.网络安全

### 16 Network Security

16.1 在内部独立的网络存储和处理重要信息

16.1 Important information shall be stored and processed on the internal independent network.

16.2 网络仅能由授权用户访问。

16.2 The network is only accessible to the authorized users.

16.3 定期审核用户的访问权。

16.3 The access rights of the users shall be audited regularly.

16.4 逻辑安全小组定期按要求对网络设施进行硬化、漏洞扫描、防病毒控制、入

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

侵扫描等活动。

16.4 The Logical Security Team shall carry out hardening of network facilities, vulnerability scanning, antivirus control and intrusion scanning, etc. as required on a regular basis.

16.5 保持审计跟踪发现或调查异常活动。

16.5 He shall audit, track, discover or investigate abnormal activities.

16.6 高安全区内禁止所有的无线网络的使用。

16.6 It is prohibited to use any wireless network in high security zones.

16.7 每个月应在整个网络内执行无线扫描以探测隐藏的无线网络，并记录。

16.7 Wireless network scanning shall be executed in the whole network every month to detect and record any hidden wireless network.

16.8 关于网络安全的详尽的规定，请参考《生产网络安全管理标准》。

16.8 For detailed regulations on the network security, please refer to Security Management Standard of Production Network.

## 17.办公环境信息安全管控

### 17. Information Security Control of Office Environment

17.1 用户不得将其密码给其他人

17.1 The user shall not disclose his password to any other person.

17.2 用户应每 90 天修改其密码

17.2 The user shall modify his password every 90 days.

17.3 用户应遵循敏感信息“桌面清洁”策略。敏感或业务关键信息不需要时应上锁或锁屏。

17.3 The user shall observe the "Desktop cleaning" strategy for sensitive information.

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	一级文件 Class 1 Document	安全手册 Safety Manual	版本号: Version number:	A/1

When sensitive or critical business information is not needed, locking or screen locking shall be carried out.

## 18.安全事故报告及处置

### 18. Reporting and Disposal of Security Accidents

建立明确、系统的安全相关事故响应的流程，保证公司能够充分应对并从可能破坏关键业务流程的事件中快速恢复。

Establish a clear and systematic response flow for security-related accidents, so as to guarantee that the company can fully deal with the accidents and quickly restore from the events possibly damaging the critical business flow.

流程分成几个阶段，以保证持续的系统的处理事故方法。

The flow is divided into several stages to guarantee continuous and systematic accident treatment methods.

- 不同级别的事故处理。
- Treatment of different levels of accidents.
- 延伸准则
- Extension criteria
- 延伸通讯清单。
- Extended communication list.
- 参见《安全事故报告及处置流程》
- Refer to Reporting and Disposal Flow of Security Accidents.

## 19.业务持续性管理

### 19. Business Continuity Management

公司针对影响公司业务发展的关键性因素及其可能面临的威胁，拟定一系列

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计划与步骤以确保企业无论处于何种状况下，这些关键因素的作用都能正常而持续地发挥。

The company proposes a series of plans and steps against the critical factors influencing the company's business development and possible threats to guarantee that these critical factors can work normally and continuously no matter which situations the company is under.

19.1. 针对目前系统潜在的中断风险（灾难），提供预防机制，提高系统连续运行能力；

19.1. For potential interruption risks (disasters) of the system at present, provide the prevention mechanism and improve the continuous operation capability of the system;

19.2. 对无法抗拒的严重灾难，提供系统恢复机制，将引发的业务损失降低到可接受的程度；

19.2. For overwhelming serious disasters, provide the system recovery mechanism and reduce the incurred business losses to an acceptable level;

19.3. 实现关键业务系统及其关联系统的数据安全；

19.3. Realize the data security of the critical business system and its associated system;

19.4. 减少计划停机次数/时间，消除对核心数据的使用；

19.4. Reduce the planned shutdown times/time, and eliminate the use of the core data;

19.5. 参见《业务持续运营计划》

19.5. Refer to Continuous Business Operation Plan.

## 20. 执行

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## 20 Implementation

本手册由四川科道芯国安全策略部门制定，生产中心总经理批准执行。如有违反本规定的员工，需进行警告教育或调离岗位。如造成严重后果，公司保留通过法律途径解决的权利。

This manual is prepared by Keydom Security Strategy Department and approved and executed by the general manager of the Production Center. The employees violating the regulations shall be warned and educated or removed from the post. In case of serious consequences, the company reserves the right to settle them through legal means.

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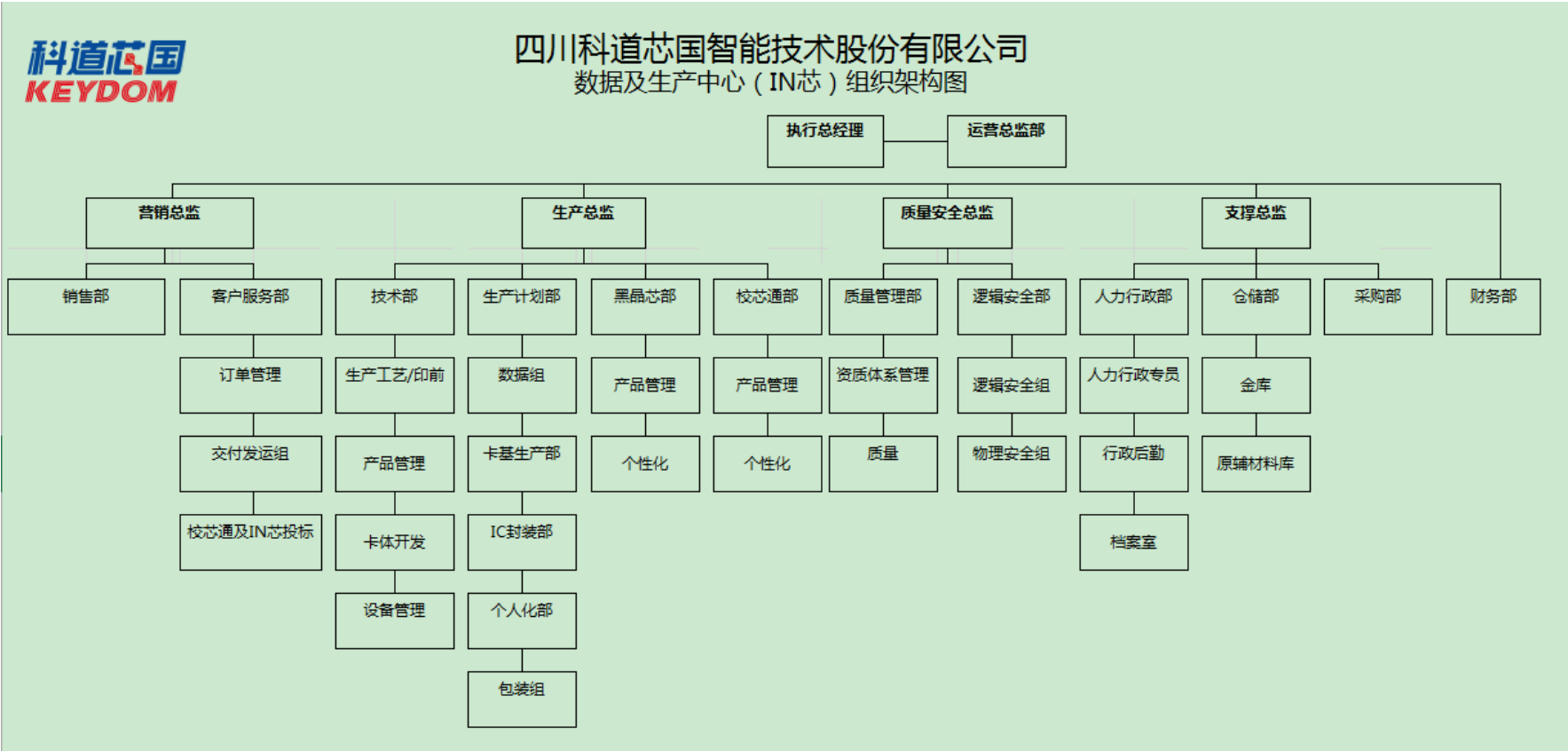
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图 1 生产中心组织架构图

Fig. 1Organization chart of Production Center



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