

**澄天伟业（宁波）芯片技术有限公司**

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| **Assets Classification Control Procedure**  **资产分级控制程序书** |

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此版本取代上述发布日期之前的所有版本。

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# Objective目的

To effectively protect corporate assets.

有效保护公司资产的安全。

# Scopes范围

Assets related to the manufacture of cards.

与卡片生产相关的资产。

# Responsibilities职责

## The Security Department安全部

1. To classify corporate assets.

定义公司资产的安全等级。

1. To compile and review departmental lists of asset classification.

汇总与审核各部门的资产分级清单。

## Each Department各部门

1. To draw up and timely update its list of asset classification.

制定并及时更新其部门资产分级清单。

1. Keep the departmental assets in accordance to this procedure.

参照此程序保管好其部门资产。

## Staff公司员工

To manage assets of different classifications in accordance to this procedure.

根据此程序的规定对不同安全等级的资产进行管理。

# Definition定义

## Asset: Materials and sensitive information related to the manufacture of cards

## 资产：与SIM卡生产产相关的材料及敏感信息

### Import of Sensitive Components输入敏感组件

Files,algorithm,encrypted key, IMSI, etc.

包括类似于输入档案、运算法则、密钥、IMSI等。

* + 1. Semi-finished Goods半成品

module, and products not completely personalized.

包括类似于模块、未完全个人化的半成品等。

### Finished Goods成品

Finished card, PIN envelope, output files, etc.

包括类似于已完成的卡片、PIN码信封、输出档案等。

### Sensitive Information敏感信息

Management-related data and customer’s information, etc.

包括类似于客户信息、管理数据等。

### Defective Personalized Goods个人化不合格品

Defective personalized cards, personalized PIN envelope, etc.

包括类似于已个人化的不合格卡片、已个人化的不合格PIN码信封等。

### Defective Embedded Module封装不合格品

Defective embedded module, and SIM card, etc.

包括类似于已封装的不合格模块、已封装的不合格SIM卡等。

## Asset: Materials and sensitive information related to the manufacture of modules

## 资产：与模块生产相关的材料及敏感信息

4.1.7 Sawn wafer.锯片

4.1.8 Finished products as modules or other packages.成品模块及其包装

4.1.9 Sensitive production systems or configuration systems.

敏感的生产系统和配置系统

4.2.0 Security relevant production processes. 安全相关的生产流程

4.2.1 Finished product in rail.生产线中的成品

4.2.2 Raw material to be used for production.用于生产的原材料

## Authorized Personnel授权人员

The staffs who need class 1 and 2 assets to accomplish the tasks should well keep these assets; authorization is on the principle of “need to know”.

指他们需要此一类、二类资产完成其本职工作，授权仅限于“需要知道”原则。授权人员负责保管好一类、二类资产。

# Procedures流程

## Assets can be classified into two: Class 1 & Class 2

## 资产可分为两个等级，分别为一类资产和二类资产

### (Class1)一类资产

Loss of or danger to such assets will bring about major impact on or losses of the company.

是指该类资产一旦遗失或遭受到危害将会给公司造成重大伤害或损失。

5.1.1.1.（CLASS 1 PRODUCT）1级产品

Finished SIM Cards,Rejected and Doubloon Cards (at the personalize step), Mother cards / Customer cards / HSM cards.

成品SIM卡(个人化完成卡)、不合格卡片和重卡（个人化的卡）、母卡/客户卡/HSM卡。

5.1.1.2.( CLASS 1 INFORMATION)1级信息

Keys (Ki, ADM, OTA, Key used to encrypt Ki ,Ki in the output file, Master Keys), Customer Data (generator, production file directly usable to personalise ), Algorithms.

密钥（Ki, ADM, OTA, 用于加密的钥匙和输出文件，万能钥匙）,客户的数据（数据生成源，直接用于个人化的生产文件）,程序或运算法则。

### (Class2)二类资产

Loss of or danger to such assets will bring about mild impact on or losses of the company.

是指该类资产一旦遗失或遭受到危害将会给公司造成中度伤害或损失。

5.1.2.1.（CLASS 2PRODUCT）2级产品

Chips and rejected chips (at the assembling step), Cards et Rejected cards (plug, embedding and initialization step), Mailer et Rejected Mailer.

芯片和不合格芯片（封装过程中的芯片），卡和不合格卡（铳卡、植入以及初始化程序）,信封以及不合格的信封。

5.1.1.2.( CLASS 2 INFORMATION)2级信息

PIN, PUK, MSISDN, Input and output files without any class 1 information

密码、PUK和MSISDN,不含有一类信息的输入和输出文件。

5.1.1.3.（CLASS 2equipment）2级设备

Server,HSM

服务器、加密机

## Protection保护

### Protection of Production Materials 生产材料保护

### Storage of Production Materials生产材料储存

1. Such materials should be stored if not used within 24 hours.

若此类材料在24小时内无需使用，必须做好储存。

1. Class 1 assets are stored in the HSA.

一类生产材料必须储存在高安全存储区。

1. Class 2 assets are stored in the material area of the warehouse or HSA

二类生产材料储存在仓库材料区或高安全存储区。

### Transportation of Production Materials生产材料传递

1. Transportation of Class 1 assets should be done with locked trolleys or on the four-eyes-principle, and under surveillance.

一类生产材料的传递必须使用上锁的手推车，否则必须执行四眼原则，同时传递活动必须受到监控系统的保护。

1. Transportation of Class 2 assets should be protected by the monitoring system

二类生产材料的传递必须受到监控系统的保护。

### Protection of Sensitive Information 敏感信息保护

### Storage of Sensitive Information敏感信息储存

1. All sensitive information should be stored immediately if not used.

所有敏感信息在不被使用之时必须立即做好储存。

1. Class 1 sensitive information must be kept in a strongbox with duel controls; digital information should be done exactly in line with “IT Security Policy”.

一类敏感信息必须储存在双人控制的保险柜，电子信息的储存必须严格按照《信息系统安全规范》中的有关规定执行。

1. Class 2 sensitive information must be kept in a locked cabinet; digital information should be done exactly in line with “IT Security Policy”.

二类敏感信息必须储存在上锁的橱柜中，电子信息的储存必须严  
格按照中《信息系统安全规范》的有关规定执行。

## Principle of assets clear up and storage资产清理与保管原则

### Clear up principle清理原则

### All assets management must abide by “Clearing Principle”, that is:

### 所有的资产管理必须遵守“清理原则”，亦即：

a)When leaving, Administrative personnel must ensure worktable or desk is clear, and there are no other assets except office tools.

行政人员在其离开工作岗位时，必须保证工作台或办公桌清理干净，不能出现除办公用品以外的其他资产。

b) When leaving, personnel related with production must put the Class 1 assets or above into cabinet with lock, HSA or strongbox under the supervision of camera.

行政与生产人员在离开工作岗位时,对于一类资产必须在摄影镜头的监控下，将其存放在带锁的柜子，高安全存储区或保险柜里。

c)When leaving, personnel related with production must put the Class 2 assets into controlled area according to relevant regulations.

行政与生产人员在离开工作岗位时，对于二类资产必须在摄影镜头监控下存放在安全区域。

### Storage principle保管原则

### All assets storage must abide by “Storage Principle”, that is:

### 所有资产的保管必须遵守“保管原则”，亦即：

1. Any production or storage about Class 1 or above must be in high security area.

对于一类资产的任何操作（包括生产与储存）必须在高安全区域内。

1. Any production or storage about Class 2 must be in security area.

对于二类资产的任何操作（包括生产与储存）必须在安全区域内。

c) Class 1 document or above must be kept in the insurance box; and the usage and storage of electronic information refer to “IT Security Policy”.

一类资产文件资讯必须存放在高强度的保险柜里，电子资讯的使用与储存参照《信息系统安全规范》。

d) Class 2 document must be kept in the cabinet with lock, and the usage and storage of electronic information refer to “IT Security Policy”.

二类资产文件资讯必须存放在配有锁的柜子里，电子资讯的使用与储存参照《信息系统安全规范》。

## Destruction销毁

5.4.1For destruction of production materials, please refer to the “The Control And Destruction Of Rejected Cards Procedure.

生产材料的销毁参照《废卡的控制及销毁程序》。

### 5.4.2Deletion of written sensitive information should be done by a shredder.

纸质敏感信息的销毁必须使用碎纸机。

## Copy复制

Class 1 &2 assets must be copied and recorded on the principle of “need to know” by authorized personnel in accordance with applicable procedures.

一类、二类资产的复制必须严格遵照“必须知道”原则，且由授权人员按照相关的流程严格执行，并留存相关的记录。

## Reclassification重新分级

When the property of assets changes, the responsible department should reclassify these assets on the principle of “higher hierarchy”- standards for the class 1 can be applied to the class 2 but not the other way around.

当资产的性质发生了改变时，资产所属部门必须对资产进行重新分级。对资产的管理可依据“就高不就低”原则，即可以按二类资产可以用一类资产的管理模式进行管理，但一类资产不能用二类资产的管理模式进行管理。

## Loss, Misuse, or Endanger遗失、误用或被危及到安全

When assets are lost, misused, or at risk, responsible personnel report the case to the superior, the security personnel, or IT department.

资产一旦被遗失、误用或遭遇到安全威胁时，应立即呈报上级、安全部人员或IT人员。

## List of Assets Classification资产分级清单

### security department for making the “S Chengtian Weiye (Ningbo) Chip Technology Co., Ltd Assets Classification List”.（attached as Annex1,Annex2）

安全部汇总审核制作《澄天伟业（宁波）芯片技术有限公司资产分级清单》。（见附件1,2）

### When the property of assets changes, the responsible department should reconfirm the classification or reclassify these assets. For any classification alteration, the security department should be informed for its update.

如果资产的状态发生了改变，则它的分级等级必须再次确认或重新定义，任何对资产等级的改变必须即时通知安全部予以更新。

### Usually, the security department reviews the “Chengtian Weiye (Ningbo) Chip Technology Co., Ltd Assets Classification List” every year. If an accreditation institute revises any articles of this list, this list later should be amended accordingly to comply with the new regulations.

一般情况下，安全部每年必须对《澄天伟业（宁波）芯片技术有限公司资产分级清单》进行重新审核，如果认证组织对相关条款进行修改时，《澄天伟业（宁波）芯片技术有限公司资产分级清单》必须及时修改以符合新标准的要求。

## Basis of Assets Classification资产分级依据

This procedure should be in line with the “GSMA Security Standards”,or “Joint Interpretation Library/Minimum Site Security Requirements”,“Visa International Service Association Security Standards” , or “MasterCard International Security Standards” or “China UnionPay Security Standard”.

此程序的描述必须同时符合《GSMA组织的安全标准》、或<CC安全标准>《国际VISA组织的安全标准》、或《国际Master Card组织的安全标准》,《中国银联的安全标准》。

Relevant Documents 参考文件

* SM01 Safety Manual安全手冊

# Records表单记录

Chengtian Weiye (Ningbo) Chip Technology Co., Ltd Assets Classification List澄天伟业（宁波）芯片技术有限公司资产分级清单

# 附件

附件1 Annex1澄天伟业（宁波）芯片技术有限公司资产分级清单 Asset Classification List