

**澄天伟业（宁波）芯片技术有限公司**

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| **Transportation Security Policy**  **运输安全政策** |

Document Number文件编号:SCT-SP025

版本 V1.0

文件种类：管制文件 (Classification: Confidential)

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**Document History 文件历史记录**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Version**  **版本** | **Date**  **日期** | **Update Details**  **更新资讯** | **Author**  **主办** | **Censorship**  **审查** | **Approbation**  **核准** |
| 1.0 | 2019/10/14 | First Issue首发 | 曹海翠 | 毛正锋 | 梅昌刚 |
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**This version supersedes all previous versions issued prior to the date indicated above**

此版本取代上述发布日期之前的所有版本

# 1. PURPOSE AND SCOPE目的和范围

### 1.1.1 Scope范围

Within the context of its international activities, Chengtian Weiye (Ningbo) Chip Technology Co., Ltd has to transport material or finished products throughout the world, while respecting customer or internal security constraints.

在公司国际活动范围内，澄天伟业（宁波）芯片技术有限公司须在全世界运输材料或成品，同时尊重客户或内部安全约束。

To achieve this objective, security levels have to be clearly identified for each product and associated to specific transportation security measures.

要实现这一目标，必须明确列出每种产品和相关的特定运输安全措施的安全级别。

This policy defines for each material or product, the transportation mode to apply to reach and maintain compliancy with internal or external security standards.

此策略定义了每个材料或产品能够达到并维持内部或外部安全标准的运输模式。

### 1.1.2 Area of application适用范围

This document is relevant to the transportation of sensitive raw material, semi-finished or finished products.

本文档与敏感原料、半成品或成品的运输有关。

The items listed below are not within the scope of the Transport Security Policy:

下面列出的项目不在运输安全政策的范围内：

* Goods transported according to customer requirements: the choice of the transporter is under customer responsibility and specified in a contract. Except for banking products (Specific requirement in chapter 0).

货物根据客户要求运输：运输者的选择由客户决定并列在合同内。除了银行产品（第 6 章中的具体要求）。

* Specific assets (as floppy discs, CD ROMs, component of logical keys, tools…) are handled in a particular secure process which is defined in the “Chengtian Weiye (Ningbo) Chip Technology Co., Ltd Corporate Transport Policy**”**

"澄天伟业（宁波）芯片技术有限公司的运输政策"定义的特殊安全处理流程的特定资产（如软盘、光盘、逻辑密钥的组件、工具...)

* Non sensitive material such as raw plastic material, cardboard boxes, ink...
* 非敏感材料如塑料原料、纸板箱、油墨等…

### 1.1.3 Compliance合规

This procedure must be applied by all employees dealing with worldwide transportation such as security, logistic or customer departments.

此过程必须由处理世界各地交通运输安全、后勤或客户部门的所有员工执行。

The security transport rules from this policy are minimal requirements to be applied. Based upon specific products, risks, experiences or customer requests they can be locally upgraded but never downgraded. (Exceptional waiver can be issued but only under strictly controlled conditions as defined in chapter 7)

这一政策的安全运输规则为适用的最低要求。根据具体的产品、风险、经验或客户要求，他们可以本地升级，但不能降级。（可以有例外的放弃但只有在严格控制的条件下如第7章中定义）

# 2. product shipment security matrix产品运输安全列表

The matrix below assigns a transport security level to each product shipment. Three (3) main security levels are defined, from level 1 for the highest required security level, to level 3 for the lowest. The security level 3 is detailed in the **Chengtian Weiye (Ningbo) Chip Technology Co., Ltd corporate Transport Policy** .

下表分配了每个产品运输的运输等级。共定义了三个主要安全等级，一级为最高，三级为最低。安全等级3在澄天伟业（宁波）芯片技术有限公司运输政策中详细说明。

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Goods or materials (Definition of materials )** | | | **Hologram or other security feature (e.g. Kinegram)** | **Signature Panel** | **Wafer** | **Micro-Module or Inlay  or Module or e-coversheet** | **Pre-personalised:  Micro-Module or Inlay or  e-coversheet** | **Finished card body or E-data page** | **Embedded card or  E-Booklet (without pre-perso)** | **Pre-personalised:  Card or E-data page  or E-Booklet** | **Personalised:  Card or E-booklet** | **PIN Mailers** |
| **BANKING**  **银行** | **DEBIT/CREDIT BRANDED CARDS**  **借记/贷记卡** | Visa | **1M/L** | **2H** | **2L** | **2L** | **1M/L** | **1M/L** | **1M/L** | **1M/L** | 3/3+ | 3 |
| MasterCard | **1M/L** | **2H** | **2L** | **2L** | **1M/L** | **1M/L** | **1M/L** | **1M/L** | 3/3+ | 3 |
| CUP | **1H** | **2H** | **2L** | **2L** | **1H(3)** | **1H(3)** | **1H(3)** | **1H(3)** | 3/3+ | 3 |
| **MOBILE-COM (SIM)** | | | NA | NA | NA | 3 | 3 | 3 | 3 | NA | 3 | 3 |

Table 1 Product shipment security matrix

The transport methods associated to the above security levels are explained in § 0 for each category. (e.g.: air, road and courier).

上述安全等级相关的运输方法在每个类别中分别解释（如空运、陆运、快递）

# 3. types of transport运输类型

Depending on destination and specific constraints, several types of transportation could be used.

根据目的地和具体的限制，可以使用几种类型的运输。

When a delivery needs several transportation methods, the security level assigned to the shipment has to be respected all along the distance with particular attention to intermediate storage areas.

当货运需要几种运输方法时，需要特别重视一些临时储存区域来达到整个货运的安全等级。

Numbers of companies in each country offer this type of service. An initial qualification and then annual audits have to be performed by the site security and logistics teams on main routes.

每个国家的几个公司需要提供这项服务。站点安全和物流部门需要作初步规划和年度审计。

### 3.1.1 Transport Security Matrix运输安全列表

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| + | | **ROAD**  **陆运** | **AIR-FREIGHT**  **空运** | **INTEGRATORS综合** |
| **Security Level**  **安全等级** | |
| **1** | **1H** | **Armored装甲车** | **Valuable cargo贵重货物** | **Express transportation**  **Under security authorisation**  **有安全许可的快递运输** |
| **1M** | **Armored装甲车** | **Vulnerable cargo (VUN+)**  **Origin/Destination airport secure handling**  **易受损货物(VUN+)**  **起点机场/目的地机场安全处理** |
| **1L** | **Dedicated vehicle with escort** |
| **2** | **2H** | **Dedicated vehicle**  **专用卡车** | **Vulnerable cargo (VUN)**  **易受损货物(VUN)** | **Express transportation with tamper proof packing**  **防干扰包装的快递运输** |
| **2L** | **Dedicated vehicle**  **专用卡车** | General Cargo  *(Detailed in the Corporate transport policy)*  **一般货物**  **（详细说明见企业运输政策）** |
| 3  - | 3+ | Consolidated vehicle  With tracking requirements  *(Detailed in the Corporate transport policy)*  **加固卡车具有电子跟踪系统的**  **（详细说明见企业运输政策）** | General Cargo  *(Detailed in the Corporate transport policy)*  **一般货物**  **（详细说明见企业运输政策）** | Tracked transportation  **With tracking requirements**  *(Detailed in the Corporate transport policy)*  **有电子追踪要求的卡车运输**  **（详细说明见企业运输政策）** |
| 3 | Consolidated vehicle  *(Detailed in the Corporate transport policy)*  **加固卡车**  **（详细说明见企业运输政策）** | General Cargo  *(Detailed in the Corporate transport policy)*  **一般货物**  **（详细说明见企业运输政策）** | Normal Mail  *(Detailed in the Corporate transport policy)*  **一般邮件**  **（详细说明见企业运输政策）** |
|  |  |  |  |  |

Table 2 Synthesis of security level

**综合安全等级**

The transportation modes Level 1 & 2 are further detailed in **§3.2, 3.3, 3.4,**

Conditions and details about transportation mode level 3 is further detailed in the **Chengtian Weiye (Ningbo) Chip Technology Co., Ltd corporate Transport Policy**  (Issued by supply chain department).

更多关于运输方式等级1和2 的详情见**§3.2, 3.3, 3.4,**

更多关于安全运输等级3的条件与细节见**澄天伟业（宁波）芯片技术有限公司运输政策**（由供应链部门发行）

### 3.1.2 Road transport description道路运输描述

For road transport, highway and common national road have to be used.

对于道路交通，必须使用高速公路和国家道路。

Also, if possible, it is recommended to avoid repeated usual:

此外，如果可能的话，建议避免重复：

* Itinerary for road transport.

道路运输路线。

* Day / hour for shipping and receiving.

传送和接收的天数/小时数。

#### 3.1.2.1 Vehicles 车辆

* Vehicle must have a cargo space protected by strengthened steel.

车辆必须有强固钢筋保护的货物空间。

* Vehicles are recommended to be fitted with electronic tracking, which must be operational for the complete journey.

建议车辆装有电子跟踪，并在整个车程中保持可操作。

* Cargo space doors are to be made of strengthened steel and each door is to be secured by at least two separate locking devices.

货物空间门必须由加固钢筋组成，每个门由至少两个单独的锁定设备进行保护。

**On the transport company side:**

运输公司方面：

* Where secure armoured transportation is requested, the company providing the service has to be compliant with the standard for “Operation of cash in transit Services.” - (Armored company such as Brink’s, Securitas for example, but not only)

凡要求安全押运，提供服务的公司必须要符合"运送现金服务操作"的标准-

* In any case the transportation company chosen is not authorised to outsource the transport of Chengtian Weiye (Ningbo) Chip Technology Co., Ltd goods to any third part.

在任何情况下选择的货运公司无权外包澄天伟业（宁波）芯片技术有限公司货物运输给任何第三方。

**On the driver:**

司机方面：

* Reference of all the drivers performing the shipment has to been known (ID badge)

执行装运的所有司机的参考情况(ID 卡)

* Vehicles are to have at least two crewmembers, both capable of driving the vehicle.

车辆有至少两名组员，都能够驾驶该车辆。

* Mobile communications, which must be operational for the complete journey is in place to reach the drivers.

司机配有整个运输工程都可用的移动通信。

**During the transport:**

在运输期间：

* Direct shipment has to be used without a break whenever possible

只要可能直接运输必须没有间断。

Note: This will be dependent on the length of a journey to be undertaken. Where distance precludes the journey from being unbroken it is recommended that breaks be structured to take place within secure bases or in circumstances where the vehicle has a crewmember remaining on board in a position to operate the security systems.

注意：这将取决于旅程的长短来进行。当距离排除了不间断的可能，建议在安全的基础上或在车辆里仍有一人在其位置上操作安全系统的情况下间断运输。

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* If direct shipment are not possible the different stops has to follow the recommendations below: For an unloading during transit: the secure warehouse of the transport company following the rules defined “Security requirements associated to the warehouse of the transport company” ***.***

如果直接运送是不可能，不同的停止必须遵循以下建议：在运输期间卸货：运输公司安全仓库应遵循"运输公司仓库的相关安全要求"的定义。

### 3.1.3 Dedicated Vehicle (Security Level 1L + 2)专用车辆（安全等级1L+2）

Vehicle filled with shipment from one or several Chengtian Weiye (Ningbo) Chip Technology Co., Ltd shippers for delivery to one or several consignees.

|  |  |
| --- | --- |
| **Dedicated Vehicle with escort**  **专用车辆和护送车**  **(Security Level 1 L)** | **Dedicated Vehicle**  **专用车辆**  **(Security Level 2H and 2L)** |
| * 2 Vehicles: Truck + Escort两辆车：卡车+护送车 * Dual control: In main vehicle 1 driver + 1 person able to drive the vehicle. (1) (Not mandatory from Chengtian Weiye (Ningbo) Chip Technology Co., Ltd site to the airport)   双控：主车中1个司机+1个能驾车的人员（在澄天伟业（宁波）芯片技术有限公司到机场中不强制）   * 1 driver in escort vehicle. The driver must attend to the truck loading and check the seal number integrity at departure and destination.   1司机在护送车辆内。此人必须在发货地和目的地时参与卡车卸货和检查密封号码的完整性。   * Separate Driver cab and storage compartment with separate locking - i.e., goods should not be exposed by opening driver or passenger doors   驾驶室单独锁定，即打开司机或乘客门无法看到货物   * Pre advice: Transporter’s identity, truck licence plate number and driver’s identity 24 hours before pick up   先前建议：在装卸前24小时确认运输者身份，卡车车牌号码和司机身份   * Pick up: Letter of instructions giving date, time, reference of goods with packing list   接载：说明信封包括给定日期，时间，货物装箱单 | * 1 Vehicle: Truck (No escort)一辆车：卡车（无护送） * 1 driver (or 2 drivers if Non-stop destination not ensured with only 1 driver)   1司机（或2司机如果只有一个司机不能保证直达目的地）   * No separate driver cab   不分隔驾驶舱   * Pick up: Letter of instructions giving date, time, reference of goods with packing list   接载：说明信封包括给定日期，时间，货物装箱单 |
| *Common security requirements:基本安全要求*   * Door to Door service门到门服务 * Non-stop to destination直达目的地 * Cargo never left unattended到达前从不卸货 * Equipped GSM 配备GSM * Equipped GPS follow up,配备GPS跟踪 GPS must be fixed securely inside the cabin so it cannot be removed: GPS应安全固定在驾驶舱内 * Panic button recommended推荐安全紧急按钮 * Solid top, hard sided with locked doors metal truck.加固，外壳坚硬加金属门的卡车 * When consignee allows truck and escort drivers watch loading and unloading operations   收货人允许卡车和护送司机看装卸和非装卸操作   * Sealed (tamper proof) packing or on truck doors密封（防篡改）包装或在卡车门上 * Proof of delivery: Copies of the delivery note signed by the customer at destination are sent by the transporter or customer to Chengtian Weiye (Ningbo) Chip Technology Co., Ltd customer service if requested.   出货证据：如果需要有目的地客户签名的收货单副本将送回澄天伟业（宁波）芯片技术有限公司或由客户转给客服部   * Products should not be stored in an unsafe location over the weekends.   周末时产品不允许储存在一个不安全的地方   * Truckload contains Chengtian Weiye (Ningbo) Chip Technology Co., Ltd products only.货车只存放澄天伟业（宁波）芯片技术有限公司产品 | |

(1) For small distance (for instance between Chengtian Weiye (Ningbo) Chip Technology Co., Ltd plant and the airport) and for products other than banking one, only one driver in the main vehicle can be allowed. This configuration need to be subjected to Chengtian Weiye (Ningbo) Chip Technology Co., Ltd security team validation based on risk assessment after study of level of local security in transit countries.

短距离（澄天伟业（宁波）芯片技术有限公司与机场之间的距离就银行其他产品，一辆卡车上至允许一个驾驶员。）

#### 3.1.3.1 Specific Road Requirement: Shipping of personalized SIM cards/modules

具体道路要求：个性化的sim卡和芯片的发货

In case of shipping personalized Visa / MasterCard / CUP cards, normal mail can be used but the transport by road to postal facility or pre sort facility has to meet the following requirements:

对于个性化的SIM卡和模块的运输，可以使用正常的平邮，但陆运到邮局或预分类的公司必须满足下列要求：

* A minimum of two individuals must receive and accompany the shipment from the personalizer’sfacility until delivery. Dual control must be maintained at all times.

必须至少两个人接收并陪同个性化公司的装运。任何时候都必须保持双控。

* The vehicle must remain locked at all times.

车辆必须在所有时间保持锁定。

* The shipment must not be visible from the outside of the enclosed vehicle

装运在封闭货车外不可见。

* The mail containers or bags must remain locked for the duration of transportation to the final

邮件容器或袋子必须在运输期间必须保持封闭到最后。

* The areas where the containers/bags are loaded into the delivery vehicle must be restricted

装入货车的容器或袋子的存放区域必须限制。

* The vehicle must only make emergency stops. The vehicle must be supplied with sufficient fuel to reach its destination before receipt of the shipment.

车辆必须只能紧急停止。车辆必须配备能到达目的地的足够的燃料。

* The vehicle must contain functioning communications equipment for emergencies.

车辆必须包含紧急通信设备。

* Functioning communication equipment for emergencies

为紧急情况运行的通信设备

* Receipt of delivery is to be signed by a representative receiving organisation, and a signed copy returned to Chengtian Weiye (Ningbo) Chip Technology Co., Ltd.

货物接收由接收方的一名代表签字，签字副本归还到澄天伟业（宁波）芯片技术有限公司。

#### 3.1.3.2 Consolidated Vehicle (Security Level3, 3+)加固车辆（安全等级3，3+）

##### The personalized banking cards& SIM cards must be shipped following type 3 or 3+ according to the type of production process of these products:

## 个人化的银行卡必须根据产品生产流程用以下3种或3种以上的运输方式：

|  |  |  |  |
| --- | --- | --- | --- |
| Process 流程 | Shipping mode 发货模式 | Traceability required 可追溯性需要 | Level |
| Daily products每日产品 | These products are sent to the end user这些产品发送给最终使用者 | No specific traceability requested to consolidated vehicle company and Postal mail transportation compliant.没有具体可追溯性要求汽车公司和邮政运输相结合 | 3 |
| Renewal products更新产品 | These products are shipped by boxes to a dispatcher这些产品按盒发送给一个调度员 | It requires a specific traceability: acknowledgement of picking up, tracking n°, acknowledgement of reception at minimum它需要一个可追溯性：至少确认装货，追踪到n°和确认收货 | 3+ |

### 3.1.4 Security Airfreight transport definition货物安全空运定义

#### 3.1.4.1 Superior airfreight security level (Security Level 1)上等空运安全级别(1)

Principle: This is the higher secured transport without transfer of transporter responsibility.

The process applied for security level 1M and 1L (Vulnerable cargo / Airport secure handling) is more detailed in the procedure“Vulnerable process for banking products”

|  |  |
| --- | --- |
| **Valuable cargo**  **贵重货物**  **(Security Level 1H)** | **Vulnerable cargo Airport Secure Handling**  **贵重货物机场安全处理**  **(Security Level 1M and 1L)** |
| * Road and Pre & Post transport: Goods are shipped with armored truck to the airport   陆运和运输前后：货物用装甲卡车运到机场   * All shipments in locked or sealed container on the plane   所有货物在飞机上都锁定或密封   * Goods are flying as valuable   货物作为贵重物品运送   * Secure handling at departure and arrival airports   在出发和到达机场安全处理 | * ROAD and Pre & Post transport:Goods are shipped with dedicated truck with escort to the airport.   陆运和运输前后：货物用专有护送的卡车运到机场   * Cargo handled as secure cargo by the handling agents in the warehouse   在仓库作为安全货物处理   * Locked or sealed containers whenever possible on the plane   只要是集装箱在飞机上必须锁定或密封   * If bulk cargo on the plane, escort on the tarmac to the plane side   如果是散装货物在飞机上，在停机坪上有护送   * Secure Handling at origin and destination airports, Warehouse storage in vault or caged area   在来源地和目的地机场安全处理，货物储存在仓库或类似笼子区域内   * Goods are flying as vulnerable货物作为贵重物品运送 * Road feeder not allowed不允许陆运分包出现 |
| *Common security requirements:基本安全要求*   * Cargo is delivered to destination transporter and stored in airport vault or Caged area with CCTV coverage under the transporter’s responsibility.   货物运送到目的地运输者并在其责任下储存在机场仓库或CCTV覆盖的类似笼子区域内   * Security representative to ensure integrity of shipment.   安全代表确认货物的完整性   * Direct flight is recommended, if no direct flight possible, storage and handling must be secured at transshipment point.   推荐直达飞行，如果不行，在转运点必须保证安全储存和处理   * Transport company: priority to 1st class airlines or Airlines of the country of the consignee   运输公司：一级航空公司或收货人国家的航空公司优先   * Airline road feeder is prohibited, hub transfers are to be performed by air   航空陆运分包是禁止的，中间转换只能由机场 | |

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#### 3.1.4.2 Intermediate airfreight security level (Security Level 2)中等空运安全级别(2)

Principle: Every movement of the goods at destination only has to be done under surveillance. Flights must be direct whenever possible. These security levels (2**H**and 2**M**)are defined as follows:

|  |
| --- |
| **Vulnerable cargo 易损货物**  **(Security Level 2H and 2L)** |
| * ROAD Pre & Post transport: metallic sealed dedicated truck with Chengtian Weiye (Ningbo) Chip Technology Co., Ltd load only.   陆运和运输前后:金属密封的专用卡车只装载澄天伟业（宁波）芯片技术有限公司货物   * Airport Ground storage must be in specific area of the warehouse under scrutiny of the warehouse security team and CCTV coverage.   机场地下储存点必须在仓库特殊区域内并在仓库安全小组监视和CCTV覆盖下   * Cargo handled as vulnerable cargo by the handling agents in the warehouse   货物在仓库作为易损货物处理   * Transport company: priority to 1st class airlines or Airlines of the country of the consignee   运输公司：一级航空公司或收货人国家的航空公司优先 |

### 3.1.5 Express transportation definition明确运输定义

#### 3.1.5.1 Express transportation related to specific assets (Security level 1):特定资产相关的明确运输

#### 3.1.5.2 Shipment of voided product失效产品的装运

When high sensitivity cards (for banking or e-government) have to be transported outside high security environment for quality tests or marketing purposes, all their security attributes must be properly **voided** before shipment. In this case the security level to apply is **level 3**

当高敏感卡（用于银行或电子政府）必须运出高安全性的环境作质量测试或促销的目的时，他们所有的安全属性必须在装运前适当地失效。。在这种情况下要应用的安全级别是级别 3 。

#### 3.1.5.3 Shipment of NON Voided product 非失效产品的装运

In case of impossibility to void all security attributes, the express transportation can be used exceptionally for high sensitivity cards depending on certification authorities, products and countries.

在不必要作废所有安全属性的情况下，快递运输可根据证书颁发机构、产品和国家用于高敏感卡。

The following process applies for all sensitive products except for **Visa / MasterCard /CUPcards** whose transportation rules are detailed in the paragraph **3.4.1.3.**

下面的过程适用于所有敏感产品，除维萨 / 万事达卡 /银联卡，它们的运输规则在章节3.4.1.3中详细指出。

Security Manager Validation and compliance with the minimum-security requirements listed below are mandatory:

安全经理验证和遵守下面列出的最低安全要求是强制性的：

* Cards have to be counted and inserted under dual control in numbered envelope or secured sealed packing.

卡要双控计数和插入编号信封中或安全密封的包裹中。

* Checking of the agreed address and recipient name

检查商定的地址和收件人姓名

* A document with detail of the shipment must accompany the delivery and have to be sent by mail with acknowledgement of receipt to the recipient before the shipment

装运中必须附带一份有详细信息的文档，并且在装运前必须通过确认收到的邮件发送给收件人

* Whenever possible the signature panel at least should be voided with permanent ink.

无论何时签名项必须使用永不退色的墨水。

Shipment document must include:

装运文件必须包括：

* Number of cards

卡的数量

* Identification number if pre-personalized cards.

如果是预个性化卡片，卡的识别号。

* Cards identification if personalized cards.

如果是个性化卡片，卡的识别号。

The recipient must confirm the shipment receipt and the compliance of the data immediately upon the receipt.

收件人必须当即确认收货单和收据上的数据信息。

#### 3.1.5.4 Shipment of non-personalized Visa/ MasterCard /CUP cards非个人化维萨/万事达/银联卡的装运

Express transportation can be used **exceptionally** for banking cards, depending on certification authorities, products, countries and agreed delivery addresses.

根据证书颁发机构、产品、国家和商定的交货地址，可以为银行卡例外使用快递运输。

In case of shipping of **non-personalized Visa/ MasterCard cards,** some additional requirements have to be fulfilled depending on the regions (Europe, CISMEA LatAm, NorAm, Asia and Canada).

对于非个性化的维萨/万事达卡，在某这些地区（欧洲、 CISMEA 拉丁美洲、北美洲、亚洲和加拿大）一些额外的要求必须应验。

That why, it is recommended to contact the regional Security manager to get the last release of Visa or MasterCard regulation.

这就是为什么建议联系区域安全经理，以获取 Visa 或万事达信用卡章程的最新版本。

Among these regionals specificities, some LatAm and European regulation can be hold up as an example:

除这些地区的具体情况，一些拉美和欧洲的流程可作为例子：

1. **Specific LatAm Visa Requirement:**

具体拉美VISA的要求：

Regardless of the Chengtian Weiye (Ningbo) Chip Technology Co., Ltd site location, should the issuer (customer) be based in LatAm, cards must be shipped using armored car on the road and valuable cargo on the air.

不管澄天伟业（宁波）芯片技术有限公司站点位置，对于拉美的发行者（客户），卡必须适应装甲卡车陆运和作为贵重货物空运。

1. **VISA/ MasterCard requirement in Europe:**

**在欧洲的VISA/万事达卡的要求:**

- **Visa** requirements:

VISA要求：

* + No more than 500 cards to each package

每包不超过500张卡

* + Limited to one package per day, per Visa Member

每个VISA成员每天限制一包

* + No shipping of packages on the day prior to a non working day

在非工作日的前一天不能发货

* + The Visa Member (e.g. Bank) must provide the approved the vendor (Chengtian Weiye (Ningbo) Chip Technology Co., Ltd) with a letter (signed by a corporate officer) indicating the destination of the shipment and that the Visa Member will assume complete and total liability for the loss, theft, or misplacement of the cards during shipment.

VISA成员(如银行) 必须提供供应商（澄天伟业（宁波）芯片技术有限公司)核准（由一公司主管签名）的一封信指示装运的目的地，并且签证成员将承担所有在装运过程中卡的错位、损失、盗窃的赔偿责任。

- **MasterCard** requirements:

万事达卡的要求：

* No more than 100 cards to each envelope

每个信封不超过100张卡

* Limited to one package per day, per MasterCard member

每个万事达成员每天限制一包

* With a maximum of 800 cards shipped per month

每月最多装运800张卡

* The MasterCard member (e.g. Bank) must provide the vendor (Chengtian Weiye (Ningbo) Chip Technology Co., Ltd) with a letter (signed by a corporate officer) indicating the destination of the shipment and that the MasterCard member will assume complete and total liability for the loss, theft, or misplacement of the cards during shipment

万事达卡会员（例如银行）必须向供应商（澄天伟业（宁波）芯片技术有限公司) 提供（由一公务人员签名）的一封信，指示装运的目的地，并且万事达卡会员将承担所有在装运过程中卡错位、损失、盗窃的赔偿责任。

### 3.1.6 Express transportation with tamper proof packing (Security level 2):防止毁坏包装的运输

For this security level 2, the express transportation is allowed but secure packaging such as sealed (tamper proof) packing or numbered envelope is recommended.

对于这种安全级别 2，允许快递运输但须安全包装在密封（防篡改）包装或编号的信封内。

### 3.1.7 Hand carry手提货

The hand carry of goods, using the service level 1, is strictly prohibited for pre personalized branded cards. Otherwise, for hand carry actions perform under Chengtian Weiye (Ningbo) Chip Technology Co., Ltd’s responsibility, it is recommended to meet the following recommendation:

手运载的货物，使用服务级别 1，严禁用于预个人化的品牌卡。否则，在澄天伟业（宁波）芯片技术有限公司职责下的手提货，建议须满足下列建议：

* A shipment document is established with number of cards, cards identification, customs harmonized code and selling price (or Pro forma: for custom value only). The package must be wrapped so to show break in evidences. So tamper proof envelops or sealed cases can be used. The package must be never left unattended. For that, the hand carry holder has to check the maximum external dimensions and weight allowed in cabin before his/her departure.

需要建立一份装运单包括卡数量、标识号、海关统一代码和出售价格（或形式上的:仅自定义值）。包装必须能显示上述这些信息。所以可以使用防篡改信封或密封盒。包不能无人看守。为此，负责送货人必须在他/她离开前要检查确认包裹外部形状和重量。

* A waiver request has to be sent to the local site security manager for validation.

一份豁免权申请必须送到当地站点安全经理进行验证。

* Export customs documents must be issued by a local airport forwarder; necessary support can be provided by the Logistic department and/or customer service.

当地机场转运方必须提供出口海关文件；必要的支持可由物流或客服部门提供。

After checking of the package and its content, the responsibility is transferred to the recipient at delivery.

在检查完包装和里面物件后，责任方将转为收货人。

# 4. requirement on packing包装要求

Packing is closely linked to the transportation mode and packages weight such as envelop (numbered or not), boxes of different sizes, pallets etc.

包装与货物的运输方式和包重量如信封（编号或不编号），盒子的大小，托盘等密切相关。

It must ensure that the exact quantity of products is delivered to destination through:

必须确保产品的精确数量发送到目的地，通过：

* Resistant enough so that it cannot break by accident during transport. Multi-ply cartons are recommended.

足够耐用以致不会在运输发生事故中破碎。建议使用多层纸箱。

* Tamper proof or sealing so that, when an envelope or box has been opened, it is detected at destination.

防篡改或密封，这样目的地可以检测到信封或盒子是否打开过。

Labelling of packages must where possible, not disclose full details of the consignment on the outer wrapping.

包装的标签尽可能的不透露货物外包装上的完整详细信息。

It is accepted that in some cases this instruction cannot be followed because of customs rules for instance. However the rule is the less the labeling reveals packing content, the less the risk of theft during transit occurs.

在某些情况下比如因为海关要求，这项说明可以被跟踪。然而，规则是标签需要显示包装内容越少，在过境期间盗窃风险发生的可能更小。

### 4.1.1 Standard packing标准包装

Packaging dedicated for goods or materials transportation should be in accordance with customer or logistic department standards.

专用于货物或材料运输的包装应符合客户或物流部门标准。

For Security level 1, tamper proof or sealing is mandatory for the packing and/or for the truck.

对于安全级别 1，防篡改或密封对包装和卡车是强制要求的。

### 4.1.2 Small quantity packing小量包装

For Security levels 1 and 2, secured numbered envelopes are highly recommended. (These envelopes are under the responsibility of the site security manager).

对于安全级别 1 和 2，强烈推荐有安全编号的信封。(这些信封是在站点安全经理的职责下)。

In case of Visa or MasterCard, additional requirements about quantity have to be met (see detail chap )

对于Visa 和万事达卡，有关数量的额外要求必须得到满足 (见详细章节 3.3.1)

# 5. Shipment Requirement装运要求

### 5.1.1 Pre-requisite for shipment装运的首要条件

The local procedure must include the followings:

本地流程须包括以下：

* The shipping site is informed of:

装运站点被告知：

* + The transporter’s identity, the reference of the truck: ID number (Whatever the incoterm) and the driver’s identity (Security Level 1)

运输者的身份，卡车相关信息：ID号（无论什么国际术语）和司机身份（安全级别１）

* + Date, Time of the shipment and the Reference of the products to be shipped (with the packing list)

装运的日期，时间和发货产品的信息（附带装箱单）

* + The driver’s identity (Security Level 1) and transporter’s name is checked on his arrival on site, before entering the loading bay

到达站点后，在进入装卸区域前需要检查司机身份（安全级别１）和运输者姓名

* The transporter has to present a mission order or the pick-up note before the goods loading.

在装货前运输者须出示一个订单或接单说明。

* Loading/unloading is operated in the loading bay, under video control, for all sensitive products (e.g. banking cards) and whenever possible

无论何时所有敏感产品（如银行卡）的装货／卸货在装卸区域内进行，在视频监控下

* The responsibility is transferred from the site towards the transport company (or from the transport company to the site for deliveries): signature of the delivery note after checking weight, number of parcels, identification of seals, etc.

责任将从站点转到运输公司（或从运输公司转到站点）：在核实完货物重量，包裹数量，密封标识等后在发货单上签名。

* The integrity and reference of the seal have to be checked and record on the delivery note, when shipment is transferred from the site towards the transport company (or inversely). The check must be performed in presence of Chengtian Weiye (Ningbo) Chip Technology Co., Ltd people, truck drivers and escort driver if requested. In case of seal opening or changing, the truck must be stopped, the truck company and Chengtian Weiye (Ningbo) Chip Technology Co., Ltd security manager notified. See § 9 “Handling of transport Incident”.

当发货从站点转移给运输公司（或相反）时，需要检查密封的完整性和相关信息并记录在发货单上。如果有要求，检查须由澄天伟业（宁波）芯片技术有限公司员工，卡车和护送司机见证下进行。如果密封拆开或更改过，卡车须停止，并通知卡车公司和澄天伟业（宁波）芯片技术有限公司安全经理。参考９＇运输事故处理＇

### 5.1.2 Ensuring correctness of consignment确保托运准确性

Where secure goods or materials are received in a damaged state i.e. packaging is damaged, the Security Manager should be informed immediately to provide confirmation that such damage has occurred and a full check of the consignment carried out under his observation.

当货物或材料收到一个损坏的状态如包装损坏时，应立即通知安全经理确认这种损害发生的，在他的观察下进行对货物的全面检查。

This advice does not preclude members of the logistics department from refusing to receive goods in this type of situation. It is recommended to express some detailed reservations on the delivery note and a tracking process should be performed .

这一建议并不排除在这种情况下，物流部门的成员拒绝接收货物。建议发布一些详细的送货单上信息，并应执行追踪过程

# 6. Contractual responsibilities合同责任

### 6.1.1 General requirements一般要求

Before any shipment, it is recommended to ensure that Chengtian Weiye (Ningbo) Chip Technology Co., Ltd contractual responsibilities comply with customer and regulatory bodies requirements.

在任何装运前，建议确保澄天伟业（宁波）芯片技术有限公司合同责任遵守客户和监管机构的要求。

Carriers or forwarders terms and conditions of sale have also to be checked against Chengtian Weiye (Ningbo) Chip Technology Co., Ltd terms and conditions of sale,

承运人或转发者的条款和销售条件也要根据澄天伟业（宁波）芯片技术有限公司条款和销售条件而定。

This contract, with transport responsibilities has to be available for people in charge of the shipment process.

这一合同，运输的责任也包括负责装运过程的人。

The local Security Manager should always be consulted in relation to any new contracts before they are completed.

在他们完成之前，本地安全经理应始终参与任何新合同的商议。

### 6.1.2 Certification authorities requirements (visa, mastercard)

### 认证机构要求（Joint Interpretation Library）

The transfer of shipment responsibility is at the point at which Chengtian Weiye (Ningbo) Chip Technology Co., Ltd has delivered cards to the customer or its authorized agent, or when the cards have been collected by the customer or its authorized agent.

装运责任的转移是在澄天伟业（宁波）芯片技术有限公司已送出卡到客户或其授权的代理人或客户或其授权的代理人已收到卡的时候发生的。

Regardless of where responsibility transfer occurs Chengtian Weiye (Ningbo) Chip Technology Co., Ltd must not release branded banking card products or components unless the minimum shipping requirements are being met.

无论责任转移出现在何处，澄天伟业（宁波）芯片技术有限公司不能放手品牌银行卡产品或组件，除非符合最低航运要求。

In such circumstances, the customer services must inform the customer and request the required clearance from him.

在这种情况下，客服部必须告知客户并索要要求的空隙。

In case of CIP incoterm, even if Chengtian Weiye (Ningbo) Chip Technology Co., Ltd is not liable for the aircraft unloading and storage at the airport, the destination airport must offer a security level in line with the sensitivity of the product.

在CIP情况下，即使澄天伟业（宁波）芯片技术有限公司对在机场的卸货和存储不负责任，目的地机场必须根据产品的敏感性提供符合的安全等级。

# 7. Dispensation特许

Exceptional dispensation is possible and has to be subjected to a waiver validated by the Site security Manager.

可允许特许出现，但需要站点安全经理认可的免除证书。

In case the dispensation concerns the security level 1 or 2, the waiver has to be validated by the Site Coordination Manager.

在特许涉及安全级别1或2的情况下，免除证书需要由站点协调经理认可。

Any dispensation has to be documented, recorded and archived (at least for 3 years) by Shipment or Customer service and forwarded to the Site Coordination Manager. They have to be available for audits.

任何特许要由物流或客服部予以记录、存档（至少 3 年），并转发给站点协调经理。他们必须是可供审计的。

# 8. Insurance保险

Insurance may form part of a third party contract as mentioned above or it may be a specific type of insurance to cover defined risks. It should be noted that in many standard contracts issued by third party suppliers, compensation by way of insurance payment is often strictly limited.

保险可能形成如上文所述的第三方合同的一部分，或它可能是特定类型的保险来覆盖定义的风险。应指出的是在由第三方供应商发出的许多标准合同、以保险支付的方式的补偿经常是严格限制的。

# 9. Handling of transport incident运输事故处理

### 9.1.1 Incident notification事故通知

In case of any incident during the transport related to a theft, lost of cards or damaged packing, the local security manager and the corporate security department have to be informed. If it concerns an Interco transfer the security managers of both originating and receiving site must be informed.

如在运输期间发生任何有关卡的的盗窃、丢失或损坏包装的情况，需要通知当地安全经理和公司安全部门。它涉及到内部运输，发出方和接收方的安全经理都需要被通知到。

The incident handling process has to be followed, and the legal department contacted to deal with our insurance company.

需要遵循事故处理过程，且由法律部与我们的保险公司联系。

### 9.1.2 Containment plan控制计划

An incident process procedure must be set up by the freight forwarder in collaboration with Chengtian Weiye (Ningbo) Chip Technology Co., Ltd. This process must define the immediate containment plan when truck is immobilized on the road in case of breakdown or serious damage (fire for example). This procedure known by the transporter company and truck drivers must at least encompass the following requirements:

与澄天伟业（宁波）芯片技术有限公司合作的货运公司必须设置事故处理流程。当卡车是固定化击穿或严重损坏 (例如火) 在道路上，这一进程必须定义立即控制计划。此过程由转运公司和卡车司机知晓且必须至少包括以下要求：

* Immediate notification to the truck operator, freight forwarder and Chengtian Weiye (Ningbo) Chip Technology Co., Ltd of the truck immobilization and location.

立即通知卡车操作员、货运代理、澄天伟业（宁波）芯片技术有限公司的卡车状态和位置.

* Immediate check of the shipment integrity by the truck or escort driver.

立即检查货车的完整性和护送司机的健康情况。

* The truck loading must never be left unattended. If both truck and escort drivers are injured and can’t watch over the shipment, law enforcement must be informed of the sensitivity of the shipment and the truck operator or freight forwarder companies must send one of their representative as quick as possible on the incident scene.

卡车装运不能无人看守。如果卡车和护送司机受伤，不能看着装运，必须告知执法装运的敏感性的，卡车操作员或货运代理公司之一必须尽可能快派出他们的代表到事故现场。

* Police report must be obtained and sent to originating security manager as well as pictures or evidences.

必须获得警方报告、图片或证据并发送到原先的安全经理。

* Measure must be in place to enable the providing of technical assistance within 4 hours.

措施必须到位，在 4 小时内提供技术援助。

* If the truck container isn’t damage, it has to be trucked by another vehicle to final destination (integrity is to be checked) or else cargo will be kept in a safe and secure storage area. Prior agreement is to be given by Chengtian Weiye (Ningbo) Chip Technology Co., Ltd.

如果卡车集装箱不损害，必须用另一辆车运输到最终目的地（完整性要检查）或其他货物将保存在一个安全和有保障的存储区中。由澄天伟业（宁波）芯片技术有限公司公司事先协议。

# 10. GLOSSARY术语表

|  |  |
| --- | --- |
| **Hologram**  **全息标** | Image that can diffract light into rainbow colors, with animation or stereoscopic effects. The hologram is a security element specific to each banking regulatory body, which is stamped on card bodies.  可以衍射光成彩虹的颜色，动画或立体效果的图像。全息图像是特定于每个银行监管机构，印在卡机构的安全元素。 |
| **Signature Panel**  **签名条** | Paper foil stamped on the back of the card to receive cardholder signature. It involves security features specific to each banking regulatory body.  卡的背面来接收持卡人签名盖章的纸箔。它涉及到特定于每个银行监管机构的安全功能。 |
| **Micro-Module**  **模块** | Assembling of silicon component on printed-circuit (lead frame).  装配在硅组件的印制电路（引线框架）。 |
| **Pre-personalized  Micro-Module**  **预个人化模块** | Micro modules initialized with manufacturer & customer information, and protected by a transport key.  微型模块初始化与制造商&客户信息，并由传输密钥保护。 |
| **Inlay**  **嵌入** | Paper or plastic based support for metallic antenna with module  支持模块金属天线的纸或塑料  Usually used for contact less application such as pay pass, ID or passport.  通常用于联系较少的应用程序如支付传递，身份证或护照。 |
| **Pre-personalized Inlay**  **预个人化嵌入** | Inlay initialized with manufacturer & customer information, and protected by a transport key.  用制造商&客户信息进行初始化的嵌体，并受传输密钥保护。 |
| **Finished card body**  **成品卡组件** | Finished plastic cards printed with customer artwork and security features  印刷了客户图稿和安全功能的成品塑料卡 |
| **Embedded card**  **植入卡** | Cards bodies with micro modules  加模块的卡组件 |
| **Pre-personalized card**  **预个人化卡** | Embedded cards initialized with manufacturer & customer information, and protected by a transport key.  用制造商&客户信息进行初始化的植入卡，并受传输密钥保护。 |
| **E- Coversheet**  电子护板 | E-passport cover made of colored plastic in which an inlay is embedded. The e-coversheet can bear the name of the country in gold letters  彩色塑料制成的电子护照封面。电子护板能用金色字母表示国家名称 |
| **E- Data page**  **电子数据页面** | First page of an e-passport in which an inlay is embedded. The e-data page will bear security features and information about passport holder such as his name, his address etc…  电子数据中包含安全功能和护照持有者的信息如他的姓名，地址等等.. |
| **Pre-personalized cover sheet**  **预个人化封面** | Pre-personalized cover sheets are coversheets initialized with manufacturer & governmental information, and protected by a transport key.  预个性化的封面页是用制造商&政府信息进行初始化并由传输密钥保护的封页。 |
| **Pre-personalized E- Data page**  **预个人化电子数据页面** | First page of the e-passport initialized with manufacturer & governmental information, and protected by a transport key  电子护照的第一页用制造商&政府信息进行初始化并由传输密钥保护 |
| **Booklet**  **小册子** | Finished e-passport composed of the coversheet and all the leaves.  包含所有封面页的完成的电子护照 |
| **Pre-personalized booklet**  **预个人化小册子** | Booklet initialized with manufacturer & governmental information, and protected by a transport key  用制造商&政府信息初始化并由传输密钥保护的小册子 |
| **Personalized card**  **个人化卡** | Embedded cards customized with all cardholder information (electrical and graphical data)  嵌入持卡人的所有信息（电气和图形数据）的植入卡 |
| **Personalized booklet**  **个人化册子** | E-passport customized with all cardholder information (electrical and graphical data)  定制的所有持卡人信息 (电气和图形数据)的电子护照 |
| **PIN Mailers**  **PIN码信封** | Paper-based carriers printed with a PIN code  印有一个 PIN 码的纸质载体 |

**MasterCard:** Security Standards for Vendors

**MasterCard:**卡商安全标准

**VISA:** VISA International Security Validation Requirements for Cards Vendors

**VISA:**卡商 VISA国际安全认证要求

**CUP:** CUP Security Standard

**CUP：**中国银联安全标准

**GSM standard:** GSM Association Security Accreditation

**GSM标准**： GSM协会安全认证

**CC标准： Joint Interpretation Library**