



NINGBO YIHENG ART & CRAFT CO., LTD

No.701, B2 Building, Wanyang Zhongchuang Cheng, BinHai, ChunHu Street, Fenghua District,
Ningbo City, Zhejiang Province, China 315506 15888547991

SCAN SECURITY AUDIT (ONSITE)

Report #	EA-2024-04-0287-CAPA-V4
Audit Submitted	Apr 15, 2024
Compliance Score	98%
Audit Type	EXTERNAL AUDIT



This Report Applies Solely for SCAN - Supplier Compliance Audit Network

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Location Information

NingBo Yiheng Art & Craft Co., Ltd

No.701, B2 Building, Wanyang Zhongchuang Cheng, BinHai, ChunHu Street, Fenghua District, Ningbo City, Zhejiang Province, China 315506 15888547991

SCAN ID	CN88NZ5212NI
Point of Contact Name	Fan BI Ying, Nancy Hu
Point of Contact Email	439273989@qq.com; sales18@merryart.cn


Contact Name	Phone	Email
		sales18@merryart.cn

Location	NingBo Yiheng Art & Craft Co., Ltd
Primary Location	Yes
Critical Location	No
Assigned Auditor	Eurofins
Schedule Date	Apr 12, 2024


Audit Summary

Pre-CAPA

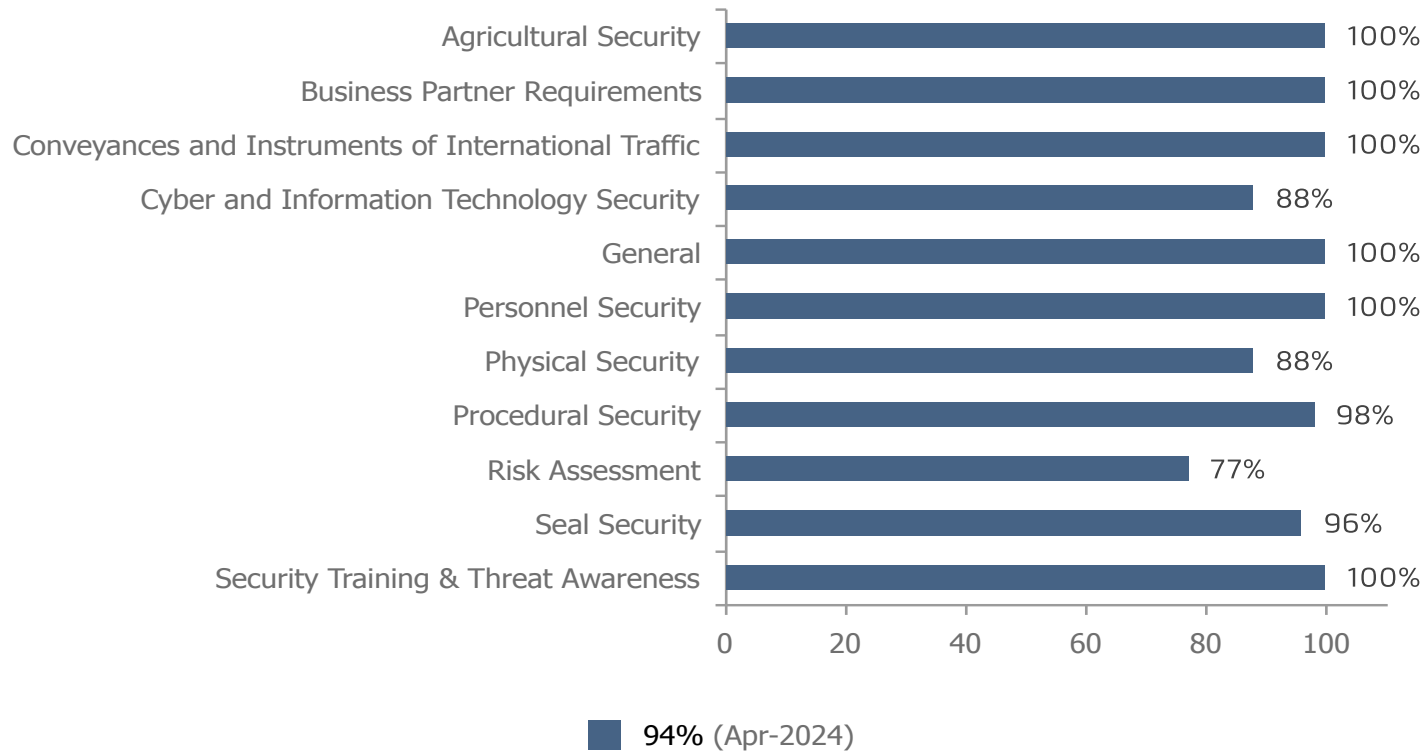
Audit Submitted
Apr 15, 2024



Compliance Score Pre-CAPA
94%



Compliance by Category




Audit Summary

Post-CAPA


CAPA Submitted Date (Last)

Apr 28, 2024

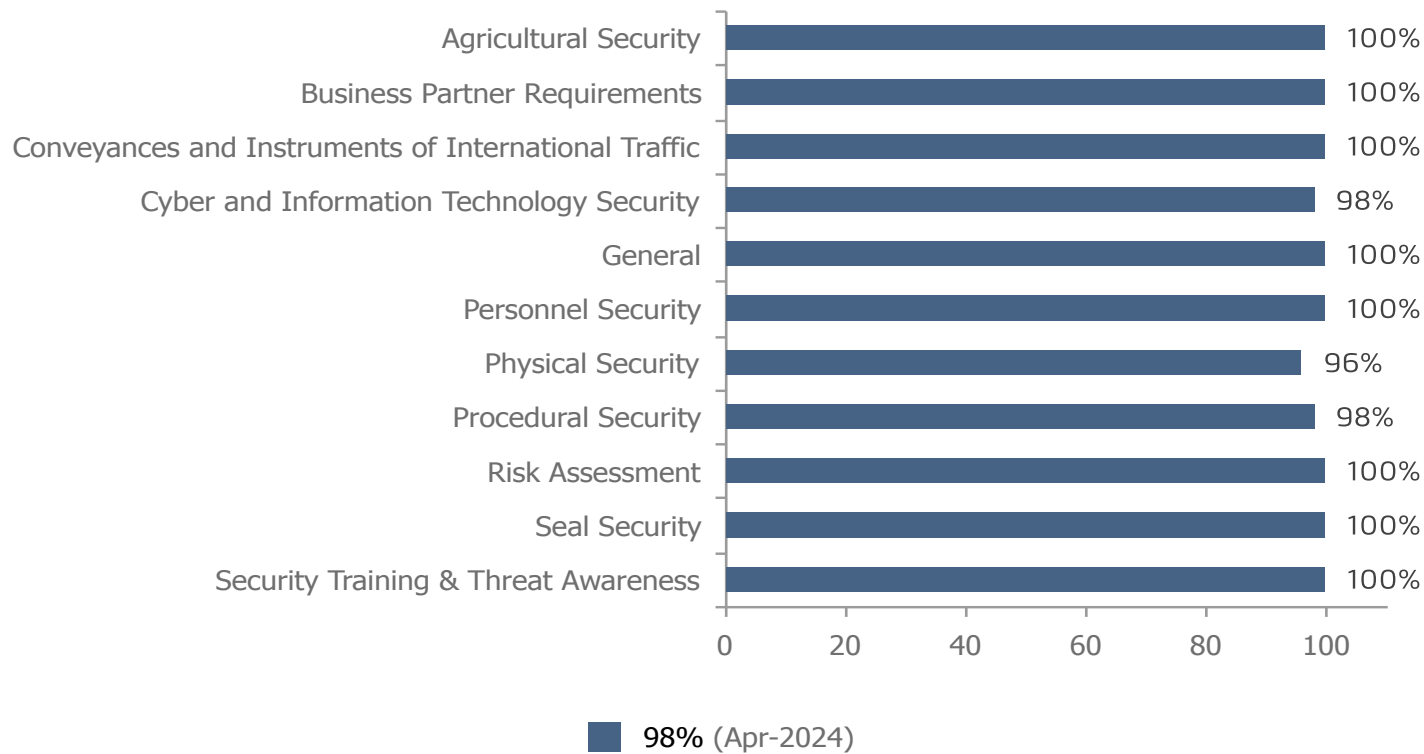


Compliance Score Post-CAPA

98%



Compliance by Category



Business Profile Information

Does the facility participate in any government, local customs, or World Customs Organization (WCO) accredited facility security program?	No
Does the facility hold a Government Supply Chain Security Certification?	No
Has the facility been reviewed or audited by this program?	No
Primary Industry of Operations	Art & Craft Manufacturing
Product Type / Commodity	Art & Craft
Year Established	2023
Grounds Size (Square Meters)	5500
Number of Buildings	1
Facility Size (Square Meters)	5700
Number of access points? (i.e. gates, exterior doors)	1
Hours of Operation	Production workers ran 1 shift from Monday to Friday: 8:00am-11:30am/ 12:30pm-5:00pm; Security guards ran 2 shifts, From: Monday to Sunday: Shifts: (8:00am-8:00pm/ 8:00pm-8:00am)
Number of Employees	21 - 50
Number of Contract Employees	33
Number of Inhouse Security Guards	5
Number of Contract Security Guards	15
Number of Migrant Workers	16
Annual Revenue	10 - 50 Million
Does the facility outsource any manufacturing services?	No
If yes to outsourcing any manufacturing services, please describe services outsourced and country location.	No process was subcontracted or outsourced
What countries does this facility export to?	USA, Mexico, etc
Does this facility have affiliate locations where any work is conducted or product stored?	No
Does the facility outsource any transportation services?	Yes

Company Name	Contact Email	Contact Email	Percentage of time
Shanghai Xishida Logistics Co., Ltd.	Mr. Shi Xiaoxiong	Not Provided	100

Does this facility partner with any sales agent or vendor representatives?

Yes, the factory export via vendor.

Enter location address as it appears on the business license for this location.

No.701, B2 Building,Wanyang Zhongchuang Cheng, BinHai,ChunHu Street, Fenghua District,Ningbo City, Zhejiang Province, China

Name of Auditor Completing this Audit (First and Last Name)

Penny Peng

Auditor Certification #

241410-218241

Name of onsite Factory Representative (First and Last Name)

Mr. Fan Lei/Production Manager

Factory Representative Email Address

fan_lei4@126.com

Audit Responses

Audit Assigned

Mar 22, 2024



Due Date

May 06, 2024



Overall Compliance Score

98%

General

100%

- 1 **None** Does the business license match the current location name and address as listed on the audit sheet? Please attach photo of business license.

- ☒ Yes
☐ No



[Business license.jpg](#)

Comments: No comments were provided

- 2 **Must** Is there a primary point of contact (POC) identified regarding security matters?

- ☒ Yes
☐ No

Comments: No comments were provided

- 3 **None** Did the auditor review previous SCAN audit CAPAs in preparation of this audit?

Only select NA if there was not an audit previously conducted with CAPAs assigned.

- ☐ Yes
☐ No
☒ NA

Comments: This is an initial audit.

- 5 **Critical** Has the audited location recently (within the last 60 days) participated in the free SCAN Factory and Supplier Training provided in advance of this Audit?

- ☒ Yes (please attach photo of training certificate)
☐ No



[SCAN training certi... pdf](#)

Comments: The factory representative Mrs.Fan/General Manager participated in the free SCAN security and threat awareness training on March 29th, 2024.

- 6 **Material** Has there been a Social Compliance or Responsible Sourcing Audit in the last 24 months that addresses the facility's employment practices?

- ☒ Yes -- please provide audit date, audit firm who conducted audit, and audit score

☐ No -- Audit Report on file is older than 24 months

☐ Never/no record

Comments: The social audit was conducted on March 23rd, 2024 by Benchmark. The audit audit was pass.

Risk Assessment

100%

7 **Must** Does the facility have a risk assessment that identifies vulnerabilities in the business plan?

☒ Yes

☐ No

Comments: No comments were provided

8 **Must** Is the facility risk assessment shared with business partners and contractors?

☐ Yes

☒ No

Comments: The factory did not share its risk assessment with business partners.

CAPA Assigned **2024/04/18** | Due Date **2024/06/17**

Included in scoring

CAPA: Implement a process in which your organization shares the risk assessment with your business partners and contractors.

- If you have already implemented, please describe in the comment section when and how you completed the corrective action or implemented the process. Please attach a photo of the process with the title and description of document.

- If you will implement, please provide your corrective action plan and the timeline (future date) for completion and implementation of the process in the comment section.

CAPA Guidance: It is a good business practice to share your risk assessment with both your business partners, suppliers, and vendors to allow for coordination of corrective actions and business continuity planning. The risk assessment must include at a minimum:

- list of all primary vendors and suppliers
- how these vendors/suppliers are impacted by possible vulnerabilities/risks
- What role vendors/suppliers play in facility's preventative/corrective actions
- date of when risk assessment will be or was shared

Comments section must include actions completed or to be taken. If attaching a document, please explain which page will be the start of your process.

CAUTION: Selecting option "Will not implement/ will not comply with corrective action request" is indicating that you acknowledge that your final score for this question will lose points and may be negatively viewed by SCAN Members.

☒ Already implemented

☐ Will implement

☐ Will not implement/ will not comply with corrective action request



8. 我们与业务... zip

Comments: We shared the risk assessment with our business partners and contractors and implemented it on April 15, 2024. 我们与与业务合作伙伴和承包商共享风险评估，并在2024年04月15日实施。

Acceptance Comments: Accepted

- 9 **Material** Does the facility risk assessment include vulnerabilities specific to contracted service providers such as contractors, seasonal employees etc.?

☒ Yes

☐ No

Comments: No comments were provided

- 10 **Must** Is the facility risk assessment updated periodically?

☒ Last update within the past 12 months

☐ Last update between 12 months and 18 months

☐ Last update between 18 months and 24 months

☐ No updates noted or last update greater than 24 months ago

Comments: No comments were provided

- 11 **Material** Define the facility's cargo movement management process. (Select all that apply)

Only select NA if the cargo movement is not managed or facilitated by the facility.

☒ A written cargo process map is available

☒ The cargo process map includes transit times from origin to final container yard

☒ The cargo process map includes locations where freight may be at rest

☐ No written cargo process map is available

☐ NA

Comments: No comments were provided

- 12 **Material** Define the facility's crisis plan. (Select all that apply)

☒ Documented crisis plan available

☒ Crisis plan includes reporting crisis-related issues to business partners as necessary

☒ Crisis plan includes alternative locations if facility is rendered unusable

☐ No documented crisis plan available

Comments: No comments were provided

Business Partner Requirements

100%

- 13 **None** Does the facility contract services such as security, transportation or manufacturing labor?

☒ Yes

☐ No

Comments: Transportation contractor: Shanghai Xishida Logistics Co., Ltd.

14 **Must** Does the facility review and provide copies of security criteria to business partners, particularly those that support international supply chain activities?

- ☒ Yes - Security criteria reviewed and provided in local language
- ☐ Yes - Security criteria reviewed and provided in English only
- ☐ Yes - Security criteria is reviewed but not provided to business partners
- ☐ No - Security criteria is not reviewed with all business partners

Comments: *No comments were provided*

15 **Must** Does the facility have written procedures used in the selection of business partners including: material suppliers, manufacturers, and logistics service providers? (Select all that apply)

- ☒ Documented screening process is available
- ☒ Screening process is done on an annual basis
- ☒ Screening process includes looking for evidence of money laundering and terrorism funding
- ☒ Screening process includes monitoring for financial stability
- ☐ No screening process takes place

Comments: *No comments were provided*

16 **Must** Are the facility's contracted business partners required to conduct an annual security risk assessment of their operation?

- ☒ Yes - Annually
- ☐ Yes - every 2 years
- ☐ Yes - At time of contract initiation only
- ☐ No

Comments: *No comments were provided*

17 **Must** Does the facility require business partners to provide a statement of compliance or complete a questionnaire highlighting CTPAT Minimum Security Requirements that are in place? Is the statement or questionnaire renewed annually? (Select all that apply)

- ☒ Compliance Statement and/or Security Questionnaire required
- ☒ Renewed annually
- ☐ No

Comments: *No comments were provided*

18 **Must** If there are areas of non compliance found on the questionnaire, does the facility require corrective action plans from the business partner with evidence of implementation?

- ☒ Yes
- ☐ No

Comments: No comments were provided

Cyber and Information Technology Security

98%

19 **None** Does this facility have internet and computer network systems?

☒ Yes

☐ No

Comments: No comments were provided

20 **Must** Does the facility have a comprehensive written cyber security policy to protect information technology systems? Is the policy reviewed and updated annually?

☒ Policy is written and was updated within the past 12 months

☐ Policy is written and was updated within the past 12-18 months

☐ Policy is written but last update was greater than 18 months ago

☐ No written policy is available

Comments: No comments were provided

21 **Must** Does the facility have firewall and anti-malware software installed to identify, protect, detect, respond and recover their network? (Select all that apply)

☒ Firewall deployed

☒ Anti-malware software installed

☐ No firewall or anti-malware software deployed

Comments: No comments were provided

22 **Must** How frequently are updates performed on firewall and malware software?

☐ Software updates are automatically deployed from the software providers

☒ Manual updates installed by on site IT services as needed

☐ No updating is performed

Comments: No comments were provided

23 **Must** Are test scenarios conducted to identify open ports and IP addresses that create vulnerable access to the internal network?

☐ Vulnerability tests are conducted by IT personnel

☒ No vulnerability tests are conducted

Comments: No vulnerability test was conducted by the factory.

CAPA Assigned **2024/04/18** | Due Date **2024/06/17**

Included in scoring

CAPA: Include in your cybersecurity policy to implement test scenario's to identify cyber security risks.

- If you have already implemented, please describe in the comment section when and how you completed the corrective action or implemented the process. Please attach a photo of the process with the title and description of

document.

- If you will implement, please provide your corrective action plan and the timeline (future date) for completion and implementation of the process in the comment section.

CAPA Guidance: The policy must include at a minimum: explanation of vulnerability tests; who conducts tests; frequency of tests; steps to resolve any gaps/vulnerabilities identified from testing.

Comments section must include actions completed or to be taken. If attaching a document, please explain which page will be the start of your process.

CAUTION: Selecting option "Will not implement/ will not comply with corrective action request" is indicating that you acknowledge that your final score for this question will lose points and may be negatively viewed by SCAN Members.

- ☒ Already implemented
- ☐ Will implement
- ☐ Will not implement/ will not comply with corrective action request



23. 我们定期进行....zip

Comments: 1. We have updated the program file on April 1, 2024 to add steps for vulnerability testing. Please refer to Section 9 of the document: Vulnerability Testing. We started implementation on April 1, 2024.

2. Vulnerability testing process:

2.1. Set X-Scan

2.1.1. Set the detection range

2.2.2. Global Settings

2.2.3. Plug-in Settings

2.2. Start scanning and view the result

2.2.1. Start scanning

2.2.2 After the scan is complete, the Web Scan Report of X-Scan Report will be opened automatically. There are detailed vulnerability information and solutions for scanning. And according to the solution provided, solve the vulnerability information.

For example: Update the operating system in a timely manner: operating system manufacturers regularly release security patches to fix known vulnerabilities. Make sure your operating system is updated to get the latest security fixes.

System Vulnerabilities: Updating software and applications: In addition to the operating system, third-party software and applications can also be vulnerable. Update these software and applications regularly for the latest security fixes.

Software vulnerabilities: Install and update antivirus software: Installing and keeping up-to-date antivirus software can detect and prevent malware intrusion in a timely manner, thereby reducing the risk of system vulnerabilities.

Firewall vulnerabilities: Configure firewalls: Firewalls can monitor and control network traffic and prevent unauthorized access and attacks. Ensure that the firewall is correctly configured to enhance system security.

Login Vulnerabilities: Use of strong passwords and multi-factor authentication: Using a strong password prevents guessing or cracking, while multi-factor authentication provides additional security.

Data vulnerabilities: Regularly backing up data: Regularly backing up important data can help restore the system to prevent data loss or exploitation by attackers.

Security awareness Vulnerabilities: Be aware of security awareness and behavior: Users should be vigilant to avoid

clicking on suspicious links, downloading files from unknown sources, and taking care not to disclose sensitive personal information.

Unsolved vulnerabilities: Consult security experts: Consult security experts and security forums to learn about the latest security threats and repair methods, and take appropriate measures in a timely manner.

2.2.3 In the main window, you can view various information about the scanned host. Including general information, vulnerability letters

Breath and error message.

2.2.4. Use the built-in tool of X-Scan

3. We designated IT to conduct vulnerability testing once a month. The most recent was on April 22, 2024.

1、我们已经在2024年4月1日更新了程序文件，增加了漏洞测试的步骤。请参考文件第9部分：漏洞测试。我们在2024年4月1日开始实施。

2、漏洞测试流程：

2.1、设置 X-Scan

2.1.1、设置检测范围

2.2.2、全局设置

2.2.3、插件设置

2.2、开始扫描并查看结果

2.2.1、开始扫描

2.2.2、扫描结束后，“X-Scan Report”的网页扫描报告会打开。其中有扫描的详细漏洞信息和解决方案。并根据所提供的解决方案，解决漏洞信息。

比如：及时更新操作系统：操作系统厂商会定期发布安全补丁来修复已知漏洞。确保及时更新操作系统可以获得最新的安全修复。

系统漏洞：更新软件 and 应用程序：除了操作系统，第三方软件和应用程序也可能存在漏洞。定期更新这些软件和应用程序，以获取最新的安全修复。

软件漏洞：安装和更新防病毒软件：安装防病毒软件并保持其更新，可以及时检测和阻止恶意软件的入侵，从而减少系统漏洞的风险。

防火墙漏洞：配置防火墙：防火墙可以监控和控制网络流量，阻止未经授权的访问和攻击。确保防火墙正确配置，可以增加系统的安全性。

登录漏洞：使用强密码和多因素身份验证：使用强密码可以防止被猜测或破解，而多因素身份验证可以提供额外的安全保护。

数据漏洞：定期备份数据：定期备份重要的数据可以帮助恢复系统，以防止数据丢失或被攻击者利用。

安全意识漏洞：注意安全意识和行为：用户应该保持警惕，避免点击可疑的链接、下载未知来源的文件，以及注意不要泄露个人敏感信息。

无法解决的漏洞：参考安全专家建议：可以参考安全专家、安全论坛等渠道，了解最新的安全威胁和修复方法，并及时采取相应的措施。

2.2.3、在主窗口中，可以查看扫描到主机的各种信息。包括普通信息、漏洞信息和错误信息。

2.2.4、使用 X-Scan 的自带工具

3、我们指定IT负责进行每个月一次漏洞测试。最近一次在2024年4月22日。

Acceptance Comments: Accepted

☒ Already implemented

☐ Will implement

☐ Will not implement/ will not comply with corrective action request

23、我们定期进行...zip

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2.2.3 In the main window, you can view various information about the scanned host. Including general information, vulnerability letters

Breath and error message.

2.2.4. Use the built-in tool of X-Scan

1、我们已经在2024年4月1日更新了程序文件，增加了漏洞测试的步骤。请参考文件第9部分：漏洞测试。我们在2024年4月1日开始实施。

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2.2、开始扫描并查看结果

2.2.1、开始扫描

2.2.2、扫描结束后，“X-Scan Report”的网页扫描报告会自动打开。其中有扫描的详细漏洞信息和解决方案。并根据所提供的解决方案，解决漏洞信息。

比如：及时更新操作系统：操作系统厂商会定期发布安全补丁来修复已知漏洞。确保及时更新操作系统可以获得最新的安全修复。

系统漏洞：更新软件 and 应用程序：除了操作系统，第三方软件和应用程序也可能存在漏洞。定期更新这些软件 and 应用程序，以获取最新的安全修复。

软件漏洞：安装和更新防病毒软件：安装防病毒软件并保持其更新，可以及时检测和阻止恶意软件的入侵，从而减少系统漏洞的风险。

防火墙漏洞：配置防火墙：防火墙可以监控和控制网络流量，阻止未经授权的访问和攻击。确保防火墙正确配置，可以增加系统的安全性。

登录漏洞：使用强密码和多因素身份验证：使用强密码可以防止被猜测或破解，而多因素身份验证可以提供额外的安全保护。

数据漏洞：定期备份数据：定期备份重要的数据可以帮助恢复系统，以防止数据丢失或被攻击者利用。

安全意识漏洞：注意安全意识和行为：用户应该保持警惕，避免点击可疑的链接、下载未知来源的文件，以及注意不要泄露个人敏感信息。

无法解决的漏洞：参考安全专家建议：可以参考安全专家、安全论坛等渠道，了解最新的安全威胁和修复方法，并及时采取相应的措施。

2.2.3、在主窗口中，可以查看扫描到主机的各种信息。包括普通信息、漏洞信息和错误信息。

2.2.4、使用 X-Scan 的自带工具

Reopen Comments: Please also describe the who conducts tests and frequency of tests in the comments area, with date of implementation provided.

25 **Material** To whom does the facility report cybersecurity threats and attempts at unapproved access to network systems? (Select all that apply)

- ☒ Senior management
- ☐ Internal business partners
- ☐ External business partners
- ☐ Customers / suppliers
- ☒ Government agencies
- ☐ No reporting process and procedure in place

Comments: The factory only reports cybersecurity threats and attempts at unapproved access to network systems to senior management Mr.Ye/IT Manager and government agency. However, the factory doesn't inform internal/external business partners and customers/suppliers.

CAPA Assigned **2024/04/18** | Due Date **2024/06/17**

Included in scoring

CAPA: This is a best practice. Please consider establishing developing a policy to report cyber security threats and unauthorized attempts at accessing your network systems to internal/external business partners, customers/suppliers, government agencies, etc.

If you have already implemented, please describe in the comment section when and how you completed the

corrective action or implemented the process, and upload the photographic evidence of completion. Otherwise, please comment that you acknowledge your consideration of implementing this process in the future.

CAPA Guidance: The policy should include:

- how to report threats, attempted unauthorized access, and completed unauthorized access to facility's IT infrastructure and electronic data
- timing of reporting in relation to when the threat/attempt/completed unauthorized access occurred
- who to report attempts to, ex. Internal/external business partners, customers/suppliers, government agencies, etc.

- ☒ Already implemented
- ☐ Acknowledged - Will consider implementation in future



[25、我们重新制定... zip](#)

Comments: We have reformulated the procedure documents and stated that cybersecurity threats and unauthorized access to network systems should be immediately reported to department/external business partners, customers/suppliers, government agencies, etc., cybersecurity threats and unauthorized attempts to access your network systems. We have already started the process on April 15, 2024. Please refer to Section 8 of the Information Technology and Network Security Management Procedures: Reporting of Network Security Incidents, Section 8.3.

我们重新制定了程序文件，并写明发现网络安全威胁和未经批准访问网络系统问题，应立刻向部/外部业务合作伙伴、客户/供应商、政府机构等报告网络安全威胁和未经授权的尝试访问您的网络系统的行为。我们已经在2024年4月15日开始实施该程序。请参考附件信息技术和网络安全管理程序中第8条：网络安全事件的报告，第8.3条款。

Acceptance Comments: Accepted

26 **Must** Are automated systems in place to monitor and prevent attempts of unauthorized access and tampering with systems and/or electronic data?

- ☒ Yes
- ☐ No

Comments: The factory has installed G360 safety guard system to monitor and prevent attempts of unauthorized access and tampering with systems.

27 **Must** Does management regularly review the employees with network access in order to restrict access to only those applications required to perform current job requirements?

- ☒ Management reviews monthly
- ☐ Management reviews quarterly
- ☐ Management reviews annually
- ☐ No management review conducted

Comments: *No comments were provided*

28 **Must** Is there a written procedure to remove network access for employees who are terminated or on leave longer than vacation?

- ☒ Yes, written process includes long term leave and terminated employee's access removal

- ☐ Yes, written process is available, but it does not include long term leave, only terminated employees access removal
- ☐ No written process was available for removing network access for terminated employees at the time of audit

Comments: *No comments were provided*

29 **Must** How is computer access managed at the factory? (Select all that apply)

- ☒ Passwords are required
- ☒ Passwords must be complex
- ☒ Passwords are changed periodically.
- ☐ No passwords are required

Comments: *No comments were provided*

30 **Must** If employees and/or contractors are permitted to access information technology (IT) systems remotely, is a virtual private network (VPN) or similar software used to control access?

- ☐ Remote access is permitted and VPN or similar software is used
- ☐ Remote access is permitted but no VPN or similar software is used to control access
- ☒ Remote access is not permitted

Comments: The factory doesn't allow remote access to its network.

31 **Must** Do all security policies apply to personal devices that connect to the network?

- ☒ All security policies apply and the facility does not permit personal devices to connect to the network without using a VPN or similar software
- ☐ All security policies apply to personal devices
- ☐ Security policies do not apply to personal devices

Comments: *No comments were provided*

32 **Material** Does IT security limit and monitor the downloading of software and access to external websites?

- ☒ Yes
- ☐ No

Comments: *No comments were provided*

33 **Material** How frequently is data backed up for this facility?

- ☐ Data is backed up daily
- ☒ Data is backed up weekly
- ☐ Data is backed up monthly
- ☐ No data back ups are performed

Comments: *No comments were provided*

34 **Material** Is the data backup stored offsite and encrypted? (Select all that apply)

- ☒ Data backup is stored offsite
- ☒ Data backup is encrypted
- ☐ Data is not stored offsite nor encrypted

Comments: No comments were provided

35 **Must** Is there a written procedure to address returning equipment slated for disposal back to IT?

- ☒ Yes
- ☐ No

Comments: No comments were provided

Conveyances and Instruments of International Traffic

100%

36 **None** Does the facility load trailers/containers or Instruments of International Traffic (IIT)?

- ☒ Yes
- ☐ No

Comments: No comments were provided

37 **Critical** While in the facility's control are containers stored in a secured manner whether on-site or off-site? (Select all that apply) Please attach photo of each applicable area.

- ☒ Container/trailer storage area is free from personal vehicle parking and any other storage
- ☒ Container/trailer storage area is secured and/or monitored (please describe)
- ☒ Stored, loaded containers/trailers are secured with a seal
- ☐ Container/trailer storage does not meet minimum security requirements



[Container storage...docx](#)

Comments: There was no container storage in the factory during audit day. The factory has established a procedure to require containers/trailers must be stored in a designated, secured area, monitored by specialized persons, free from personal vehicle parking and other storage. All loaded containers/trailers stored for any period of time must be closed and secured with a seal that meets the requirements outlined in the seal security section.

38 **None** Were you able to observe a container inspection in process or a previously completed container inspection via CCTV recordings?

- ☒ Yes
- ☐ No

Comments: No comments were provided

39 **Critical** Is there a written procedure in place to inspect the security integrity of a container or trailer prior to loading?

- ☒ Yes
- ☐ No

Comments: No comments were provided

- 40 **Critical** Is there a documented, comprehensive inspection of a trailer/container conducted prior to loading of the container? (Select all that apply)

- ☒ Checklist is utilized (please attach photo of checklist)
- ☒ Size of container notated
- ☒ Container number notated
- ☒ Name of person performing the inspections included on checklist
- ☒ Date and time of inspection notated
- ☒ Floor and roof of container intact no holes or leaks notated
- ☒ Outside walls free of damage notated
- ☒ Undercarriage checked for damage
- ☒ Inspection for invasive species (eggs nests, dirt seeds) included
- ☐ No inspections completed or documented



[Container inspectio... jpg](#)

Comments: No comments were provided

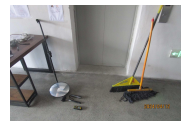
- 41 **Material** Are photos and/or CCTV videos taken during the container/trailer loading process? (Select all that apply)

- ☒ Photos are captured
- ☒ Video is captured
- ☐ No visual documentation is recorded

Comments: No comments were provided

- 42 **Critical** Does the shipping area use equipment to conduct a 7-point container inspection? (Select all that apply) Please attach photo of all equipment used to conduct this container inspection.

- ☒ Measurement tool
- ☒ Mirrors for undercarriage
- ☒ Tap test tool
- ☒ Container Interior cleaning tool
- ☐ No tools available/tools do not meet requirements



[Inspection tool for c...jpg](#)

Comments: No comments were provided

- 43 **Material** Are container inspections conducted in a secure area and in view of CCTV cameras? (Select all that apply)

- ☒ Trailer inspection area is visible on CCTV
- ☒ Inside of trailer/container is visible from tail to nose on CCTV
- ☒ Inspections are conducted in a secured area
- ☐ Inspections are not captured on CCTV nor in a secured area

Comments: *No comments were provided*

44 **Must** Does the facility maintain training records indicating which employees are trained to perform a 7-point container/trailer inspection?

☒ Yes

☐ No

Comments: *No comments were provided*

45 **Material** Is there a procedure where management or supervision conducts follow up inspections?

☒ Yes

☐ No

Comments: *No comments were provided*

46 **Material** Are container/trailer inspections supervised?

☒ Yes

☐ No

Comments: *No comments were provided*

47 **None** Does the facility directly contract transportation service providers for any of their customers or business partners?

☒ Yes

☐ No

Comments: *No comments were provided*

48 **Material** Does the facility have a written procedure to require confirmation of arrival at destination (container yard or freight forwarder's location) for items shipped?

☒ Yes

☐ No

Comments: *No comments were provided*

49 **Material** What tracking technologies does the facility require to be used by the contracted transportation company to confirm cargo arrival?

☒ GPS carrier controlled

☐ GPS shipper controlled

☐ Cell phone check by carrier dispatch

☐ Cell phone confirmation by driver

☐ Other

☐ No tracking technologies used

Comments: *No comments were provided*

50 **Material** Where possible, are transit routes from the facility to the port or next destination location randomly changed to minimize predictability?

- ☒ Yes
☐ No
☐ Only one route is available

Comments: No comments were provided

51 **Material** Does the facility provide written instructions to transportation service drivers detailing that only required stops are permitted? (i.e. inspections by governmental agencies, refueling etc.)

Only select NA if this facility is strictly leveraging only small packages via consolidator carriers.

- ☒ Yes
☐ No
☐ NA

Comments: No comments were provided

52 **Critical** Does the facility document driver information for arriving and departing material movements? (Select all that apply)

- ☒ Driver log is maintained (please attach photo of driver log in use)
☒ Tractor number listed
☒ Container/trailer number listed
☒ Photo ID required of drivers
☒ Carrier name
☒ Date
☒ Arrival Time
☒ Departure Time
☒ Seal verification information for container/trailer departure
☐ No driver log available



[Driver Log.jpg](#)

Comments: No comments were provided

53 **None** Does the facility ship less than container load (LCL)?

- ☐ Yes
☒ No

Comments: The factory does not use LCL shipment.

55 **None** Does the facility make air shipments?

- ☐ Yes

☒ No

Comments: The factory does not make air shipment.

57 **None** Does the facility make any shipments in open top, open sided, ventilated (livestock), soft sided containers?

☐ Yes

☒ No

Comments: The factory does not make any shipments in open top, open sided, ventilated (livestock), soft sided containers.

59 **Critical** Are international shipments sealed with an ISO 17712:2013 compliant high-security seal immediately after a container or trailer is loaded?

Only select NA if this facility is strictly leveraging only small packages via consolidator carriers.

☒ Yes (please attach photo of ISO approved seal utilized)

☐ No

☐ NA



[ISO approved seal s... jpg](#)

Comments: The seals for the international shipments were all met the most current ISO17712:2013 standards.

60 **Critical** Does the facility have written and verifiable procedures to ensure that security seals are controlled? (Select all that apply)

Only select NA if the seals are provided by a 3rd party such as a consolidator or carrier.

☒ Policy is written (please attach photo of applicable section of procedure)

☒ Seals are secured in storage

☒ Specific employees are listed who have access to seal storage

☐ No written policy is available

☐ NA



[Security seal contro... jpg](#)

Comments: No comments were provided

Agricultural Security

100%

61 **Material** Does the facility remove dirt and other debris from containers' exterior prior to loading?

Only select NA if this facility is strictly leveraging only small packages via consolidator carriers.

☒ Yes

☐ No

☐ Dirty or damaged containers are refused

☐ NA

Comments: No comments were provided

- 62 **Material** Does the facility have a procedure to inspect and review evidence of pest access such as baited traps, periodic extermination, and removal of debris from shipping and storage facilities?

☒ Yes

☐ No

Comments: No comments were provided

- 63 **Must** Is wood packaging material heat treated or fumigated to kill pests and limit the potential for introduction of pests at the container stuffing location? (Select all that apply)

Only select NA if the facility is not using wood packing material.

☐ Only heat treated or otherwise treated packaging material is utilized at this location

☐ Origins of all wood used in the manufacturing process is documented and provided to the receiver

☐ Factory cannot detail how wood packaging material is treated prior to utilization

☒ NA

Comments: The factory doesn't use wood packaging material.

- 64 **Must** Are wood products or materials utilized in the manufacturing or packaging process identified by source and species?

Only select NA if the facility is not using wood products or packing material.

☐ Yes

☐ No

☒ NA

Comments: The factory doesn't use wood materials in the manufacturing process.

- 65 **Must** Are wood pallets used in the shipping process heat treated or fumigated to kill pests and limit the possible introduction of pests at the loading facility? Are pallets stored inside the facility to limit the exposure to seeds, dirt and other forms of contamination? (Select all that apply)

Only select NA if the facility is not using wood pallets.

☐ Pallets are heat treated or fumigated

☐ Pallets are marked with a heat treated stamp or a Phytosanitary inspection certificate is issued with each pallet delivery

☐ Pallets are stored inside the building

☐ Pallets are observed stored outside and on the ground

☐ Pallets are not heat treated nor fumigated

☒ NA

Comments: The factory doesn't use wood pallets for international shipment.

66 **Critical** Are security seals stored in a secured location?

Only select NA if the seals are provided by a 3rd party such as consolidator carriers.

- ☐ Yes (please attach photo of seal storage location)
- ☐ No
- ☒ NA

Comments: Seals are supplied by the transportation service provider when loading is required

67 **Critical** Does the facility have documented test reports or statements from the seal vendor to validate that the seals utilized meet the most recent ISO 17712 criteria?

Only select NA if the seals are provided by a 3rd party such as consolidator carriers.

- ☒ Yes (please attach photo of test report)
- ☐ No
- ☐ NA



[Seal test report.jpg](#)

Comments: No comments were provided

68 **Must** Is there a procedure in place requiring management level personnel to conduct periodic audits of the seal inventory, seal log, and shipping documents and conveyances to validate that the seal controls are being followed. All steps must be documented. (Select all that apply)

Only select NA if this facility is strictly leveraging only small packages via consolidator carriers.

- ☒ A written procedure is available
- ☒ Audits are conducted
- ☒ Audits are documented
- ☐ No written procedure or practices are in place
- ☐ NA

Comments: No comments were provided

69 **Critical** Describe the facility's seal application process. (Select all that apply)

Only select NA if this facility is strictly leveraging only small packages via consolidator carriers.

- ☒ VTT process included in seal application procedure
- ☒ Secondary testing and validation is checked by supervisors or security guard at time of exit from the facility
- ☒ Seal numbers are written on shipping documents
- ☐ Testing procedure recorded on CCTV footage

- ☒ Seal numbers are communicated or otherwise transmitted to the consignee
- ☒ Facility is advised when seal numbers are changed prior to departure from port of origin
- ☐ NA

Comments: Auditor noted that loading procedure could be seen through CCTV recordings, but the seal testing procedure couldn't be seen through CCTV after loading.

CAPA Assigned **2024/04/18** | Due Date **2024/06/17**

Included in scoring

CAPA: Develop a seal security procedure that requires all ISO 17712 seals are applied properly and that changes made prior to sailing are reported to both origin and destination.

Describe in the comment section when and how you completed the corrective action or implemented the process. Please attach a photo of the process with the title and description of document.

CAPA Guidance: The procedure must also include at a minimum:

- VVTT process included in seal application procedure
- Secondary testing and validation is checked by supervisors or security guard at time of exit from the facility
- Seal numbers are written on shipping documents
- Testing procedure recorded on CCTV footage
- Seal numbers are communicated or otherwise transmitted to the consignee
- Facility is advised when seal numbers are changed prior to departure from port of origin

Comments section must include actions completed or to be taken. If attaching a document, please explain which page will be the start of your process.

CAUTION: Selecting option "Will not implement/ will not comply with corrective action request" is indicating that you acknowledge that your final score for this question will lose points and may be negatively viewed by SCAN Members.

- ☒ Already implemented
- ☐ Will not implement/ will not comply with corrective action request



69、我们调整了CC...zip

Comments: 1. We have reformulated our stamp management procedures and requested to see the stamp inspection action on CCTV. We have already started implementation on April 15, 2024.

2. We adjusted the position of CCTV to see the rear and inside of the container vehicle.

3. We require the shipping personnel to conduct VVTT inspection and record after the container is filled.

1、我们已经重新制定了我们的印章管理程序，并要求在闭路电视上看到印章检查行动。我们已经在2024年04月15日开始实施。

2、我们调整了CCTV的方位，看到货柜车辆尾部和内部。

3、我们要求船务人员对集装箱装满后进行VVTT检查并记录。

Acceptance Comments: Accepted

- 70 **Critical** Is the area adjacent to the shipping and receiving areas enclosed or otherwise monitored?

- ☒ Yes (please attach photo showing enclosure and/or monitoring method)
☐ No



[The shipping and re... jpg](#)

Comments: The shipping and receiving area was enclosed by enclosed tape fence, monitored by CCTV, security guard and Warehouse Manager, and lighting & CCTV cameras were covered the shipping and receiving area.

- 71 **Critical** Is a written procedure in place to report unauthorized access to a container or a trailer, and/or product storage areas within the facility including whom to notify?

- ☒ Yes (please attach photo of applicable section of procedure)
☐ No



[Procedure to report... jpg](#)

Comments: No comments were provided

- 72 **Critical** Is a written procedure in place to monitor and limit access to critical operational areas of the facility, such as warehouse picking, final packing or packaging, shipping and receiving?

- ☒ Yes (please attach photo of applicable section of procedure)
☐ No



[Critical area monito... jpg](#)

Comments: No comments were provided

- 73 **Critical** Is a written procedure in place that requires all information used in the shipping documents for merchandise/cargo to be legible, complete, and accurate?

- ☒ Yes (please attach photo of applicable section of procedure)
☐ No

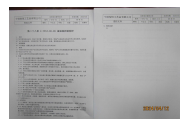


[Shipping document... jpg](#)

Comments: No comments were provided

- 74 **Critical** Is a written procedure in place to resolve a carton count shortage, overage, or any documentation issue found during container or trailer loading; or after the shipment has departed the facility?

- ☒ Yes (please attach photo of applicable section of procedure)
☐ No



[Carton shortage or ... jpg](#)

Comments: No comments were provided

75 **Critical** Are international shipments marked, counted, weighed, and properly reported on shipping documents?

- ☒ Yes (please attach photo of applicable documentation)
☐ No



[International shipm... jpg](#)

Comments: No comments were provided

76 **Critical** Is a written procedure in place that restricts access to shipping and receiving documentation?

- ☒ Yes (please attach photo of applicable section of procedure)
☐ No



[Shipping and receivi...jpg](#)

Comments: No comments were provided

77 **Material** Are pre-printed paper documents/forms used to prepare commercial documents and properly secured?

- ☒ Pre-printed documents are secured
☐ Pre-printed documents are not secured
☐ Pre-printed paper documents are not utilized

Comments: No comments were provided

78 **Material** Are shared network printers password protected when used to prepare export documents?

Only select NA if there are no shared network printers being utilized.

- ☒ Yes
☐ No
☐ NA

Comments: No comments were provided

79 **Critical** Are commercial document packets sent with the shipment at departure? Please explain process.

- ☒ Yes
☐ No



[Commercial docu... docx](#)

Comments: Commercial document packets were sent with shipment at departure once the information is verified as correct.

80 **Critical** Is a written procedure in place to notify local law enforcement and the customer when illegal shipping activity or any abnormality is suspected or detected?

- ☒ Yes (please attach photo of applicable section of procedure)
☐ No



[Reporting illegal shi... jpg](#)

Comments: No comments were provided

81 **Critical** Are access control procedures and devices used to ensure that only authorized employees have access to the facility?

- ☒ Yes (please attach photo of applicable documentation section and device)
☐ No



[Access control proc... jpg](#)

Comments: No comments were provided

82 **Critical** Is there a procedure in place to notify Business Partners of security issues such as attempted theft, fraud or internal conspiracies?

- ☒ Yes (please attach photo of applicable section of procedure)
☐ No



[Notify business part...jpg](#)

Comments: No comments were provided

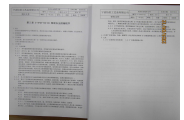
83 **Material** Does the shipping department validate the freight being loaded against the Purchase Order prior to departure?

- ☒ Yes
☐ No

Comments: No comments were provided

84 **Critical** Is a written procedure in place to control the issue, removal, and changing of access devices such as ID badge, door and lock keys, access cards, and security alarm codes?

- ☒ Yes (please attach photo of applicable section of procedure)
☐ No



[Physical access con... jpg](#)

Comments: No comments were provided

85 **None** Do you have dedicated security staff/guards on site?

- ☒ Yes
☐ No

Comments: No comments were provided

86 **Must** Are written job descriptions in place outlining the roles and responsibilities of security staff or staff performing dual roles that include security functions?

- ☒ Yes
☐ No

Comments: No comments were provided

87 **Must** Does the facility require the security staff or contractors to "patrol" the facility during off business hours and "patrols" are documented either with CCTV surveillance, electronic recordings or with paper check lists?

- ☐ Patrols are required; documented electronically or via CCTV
☒ Patrols are required; documented via paper only
☐ Patrols are required; no documentation available
☐ Patrols are not required nor documented

Comments: No comments were provided

88 **Must** Does management verify compliance with security company work instructions and policies?

- ☒ Yes
☐ No

Comments: No comments were provided

Physical Security

96%

89 **Critical** Is there a designated employee and visitor vehicle parking area separate from the shipping and receiving area?

- ☒ Yes (please attach photo of applicable area)
☐ No



[The designated vehi... jpg](#)

Comments: No comments were provided

90 **Material** Are appropriate controls in place to segregate domestic goods from goods intended for international shipment?

- ☒ Yes
☐ No

Comments: No comments were provided

91 **Material** Is a preventative maintenance procedure in place that requires a regular inspection of perimeter fencing or other barriers, buildings, and structures? (Select all that apply)

- ☒ Procedure is written
☒ Regular inspections are documented

☒ Preventative maintenance logs kept

☐ Nothing in place

Comments: *No comments were provided*

92 **Critical** Are there any barriers to limit the ingress and egress to the facility by vehicles and personnel? Please attach photos of applicable areas.

- ☒ Physical barriers
☐ Environmental barriers
☐ Combination of Physical and Environmental barriers
☐ No barriers



[Solid fence to limit ... jpg](#)

Comments: Concrete walls as fences were installed as physical barriers and main gates were protected by metal gate, security guards and CCTV cameras were all controlled for main entrances.

93 **Critical** Are gates locked or otherwise secured when not in use?

Only select NA if gates are not present at the facility.

- ☒ Yes (please attach photo of applicable areas)
☐ No
☐ NA



[Main gate locked an... jpg](#)

Comments: *No comments were provided*

94 **Must** Does the facility have sufficient lighting at entrances, exits, cargo handling and storage areas, along fence lines, and in parking areas to detect movement during periods of darkness?

- ☐ Yes
☒ No



[No lighting on fence.jpg](#)

Comments: The auditor noted lightings were installed at the entrance, loading area, storage areas, etc, but no lighting was installed for the fence.

CAPA Assigned **2024/04/18** | Due Date **2024/06/17**

Included in scoring

CAPA: Establish a documented process and implement sufficient lighting at all required areas to allow for detection of movement during periods of darkness.

- If you have already implemented, please describe in the comment section when and how you completed the corrective action or implemented the process. Please attach a photo of the process with the title and description of document.

- If you will implement, please provide your corrective action plan and the timeline (future date) for completion and implementation of the process in the comment section

CAPA Guidance: Comments section must include actions completed or to be taken. If attaching a document, please explain which page will be the start of your process.

CAUTION: Selecting option "Will not implement/ will not comply with corrective action request" is indicating that you acknowledge that your final score for this question will lose points and may be negatively viewed by SCAN Members.

- ☒ Already implemented
☐ Will implement
☐ Will not implement/ will not comply with corrective action request



94、我们安装了围... zip

Comments: We purchased lighting and installed it on the fence. We have completed the installation on April 20, 2024. 我们采购了照明设备，安装在围栏上。我们已经在2024年04月20日安装完毕。

Acceptance Comments: Accepted

95 **Must** Which of the following security technologies does the facility incorporate as part of its systems and controls? (Select all that apply)

- ☒ CCTV
☐ Access Control
☒ Security Alarm
☐ Other Technologies Used
☐ None

Comments: The auditor noted no access control was installed or used as security technology.

CAPA Assigned **2024/04/18** | Due Date **2024/06/17**

Included in scoring

CAPA: Establish a written procedure that requires security technology is installed including the types of technology.

- If you have already implemented, please describe in the comment section when and how you completed the corrective action or implemented the process. Please attach a photo of the process with the title and description of document.
- If you will implement, please provide your corrective action plan and the timeline (future date) for completion and implementation of the process in the comment section.

CAPA Guidance: SCAN's expectation is to install CCTV, security alarms and access controls such as gates, security staff, etc. at the facility.

Comments section must include actions completed or to be taken. If attaching a document, please explain which page will be the start of your process.

CAUTION: Selecting option "Will not implement/ will not comply with corrective action request" is indicating that you acknowledge that your final score for this question will lose points and may be negatively viewed by SCAN Members.

- ☒ Already implemented
☐ Will implement
☐ Will not implement/ will not comply with corrective action request



95、我们更新了程... zip

Comments: We purchased the infrared alarm system and access control system and installed them on April 20, 2024. 我们采购了红外报警系统和门禁系统，并已经在2024年04月20日进行了安装使用。

Acceptance Comments: Accepted

96 **Must** Do you have written procedures governing the use of the security technology?

☒ Yes

☐ No

Comments: No comments were provided

97 **Material** Was security equipment installed by a licensed/certified contractor?

☒ Yes

☐ No

Comments: No comments were provided

98 **Material** Do you have maintenance contracts in place for your security systems?

☒ Yes, current contracts are in place

☐ No current contracts in place

Comments: No comments were provided

99 **Must** Are Critical Security Infrastructure locations secured and authorized access limited to only those whose jobs require access?

☒ Yes

☐ No

Comments: No comments were provided

100 **Material** In the event of a power outage, does the facility have an alternate electrical power system to ensure uninterrupted operation of electronic security systems?

Only select NA if there are no electronic security systems.

☐ Yes

☒ No

☐ NA

Comments: Auditor noted the CCTV system didn't have alternate electrical power system.

CAPA Assigned **2024/04/18** | Due Date **2024/06/17**

Included in scoring

CAPA: This is a best practice. Please consider establishing a backup power system to power critical systems in the event of a power failure.

If you have already implemented, please describe in the comment section when and how you completed the corrective action or implemented the process, and upload the photographic evidence of completion. Otherwise, please comment that you acknowledge your consideration of implementing this process in the future.

CAPA Guidance: Any security technology used at the facility must have a back up power source to allow systems to continue operating if electricity is lost. Examples include but are not limited to battery source or generator.

Comments section must include actions completed or to be taken. If attaching a document, please explain which page will be the start of your process.

- ☒ Already implemented
- ☐ Acknowledged - Will consider implementation in future



[100、我们采购了... zip](#)

Comments: We purchased a backup power supply to install in the CCTV to ensure the uninterrupted power supply of CCTV, and it has been installed and used on April 20, 2024.

我们采购了备用电源安装在CCTV处，保证CCTV能不间隙性供电，并已经在2024年04月20日进行了安装使用。

Acceptance Comments: Accepted

101 **Critical** Is a CCTV system used to monitor the facility and premises' including entrances, exits, cargo storage, shipping, packing and other loading/unloading areas? (Select all that apply)

- ☒ All entrance(s) / exits
- ☒ Cargo storage / shipping
- ☒ Loading / unloading area(s)
- ☒ Packing area
- ☒ Perimeter
- ☒ CCTV coverage in additional areas. (Please describe in comments)
- ☐ No CCTV



[CCTV control system.jpg](#)

Comments: Additionally, the CCTV system was also covered with production workshops, office areas, etc.

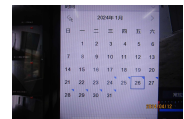
102 **Material** Does your CCTV system have a failure alarm that indicates when the system is off line or no recording is underway?

- ☒ Yes
- ☐ No

Comments: *No comments were provided*

103 **Critical** Does the CCTV system run 24 hours per day 7 days per week?

- ☒ Yes (please attach photo of applicable area)
- ☐ No



[CCTV records.jpg](#)

Comments: *No comments were provided*

104 **Must** Is the facility's CCTV system recording at the highest quality picture setting available?

- ☒ Yes

☐ No

Comments: No comments were provided

105 **Must** Does the facility's management team conduct random and documented reviews of CCTV footage periodically to ensure security procedures are being followed?

☒ Yes

☐ No

Comments: No comments were provided

106 **Critical** How many days are CCTV recordings kept?

☐ 90 or more days

☐ 45 - 89 days

☐ 30 - 44 days

☒ Less than 30 days

☐ Recordings not retained



[CCTV records.jpg](#)

Comments: Auditor noted that the factory kept CCTV records of some areas such as production areas, main gates for 20 days, some areas such as perimeters for 80 days.

107 **Must** Do employees display their ID badge at all times while at the facility?

☒ Yes

☐ IDs carried but not displayed

☐ No

Comments: No comments were provided

108 **Critical** Is a written procedure in place to require visitors to present photo identification upon arrival and have security or other authorized employee record their information in a log? (Select all that apply)

☒ Written procedure is available

☒ Photo ID are checked

☒ Visitor Log is utilized

☐ No written process is in place

Comments: No comments were provided

109 **Must** Is a written procedure in place to inspect a visitor's bag before entering and leaving the manufacturing, production or shipping area of the facility?

☒ Yes

☐ No

Comments: No comments were provided

110 **Critical** Is a visitor issued a numbered visitor badge which is displayed or carried while at the facility?

- ☒ Yes (please attach photo of applicable item)
☐ No



[Visitor badge.jpg](#)

Comments: No comments were provided

111 **Critical** Is a visitor escorted at all times while at the facility?

- ☒ Yes
☐ No

Comments: No comments were provided

112 **Material** Is a written procedure in place to inspect packages prior to distribution?

- ☒ Yes
☐ No

Comments: No comments were provided

113 **Material** Are hazardous materials or high value goods segregated when stored at the facility?

Only select NA if there are no high value or hazardous material items at the facility.

- ☐ Yes
☐ No
☒ NA

Comments: No hazardous materials is stored and used in the facility

Personnel Security

100%

114 **Must** Does the facility have a written procedure in place to validate information provided on an employment application, such as an address, previous employment history, education, personal or professional references, and a certification? (Select all that apply)

- ☒ Policy is written
☒ Education check
☒ Reference check
☒ Previous employment check
☐ Nothing in place

Comments: No comments were provided

115 **Must** Are permanent and temporary job applicant(s) required to submit a written application for employment and provide proof of their identity? (Select all that apply)

- ☒ Written application required
- ☒ Government issued ID required

Comments: *No comments were provided*

- 116 **Must** If allowed by local law, is a written procedure in place to perform a background check on an applicant and employee who works in a sensitive area of the facility, such as personnel, shipping, computer systems, or contract employees?

Only select NA if not allowed by local law.

- ☒ Yes, written procedure is in place
- ☐ No procedure is in place
- ☐ NA

Comments: *No comments were provided*

- 117 **Must** Which type of check is conducted? (Select all that apply)

- ☒ Criminal Check
- ☒ Credit Check
- ☐ Other

Comments: *No comments were provided*

Security Training & Threat Awareness

100%

- 118 **Must** Is a security threat awareness training provided to all new employees and an annual refresher course for current employees? (Select all that apply)

- ☒ Training program in place
- ☒ Training logs are kept to insure required personnel attend the training
- ☒ Management personnel randomly reviews documentation
- ☒ Training provided annually for all employees
- ☒ Training provided for new employees
- ☐ There is no Threat Awareness training in place

Comments: *No comments were provided*

- 119 **Must** Does security threat awareness training cover security-related issues?

- ☒ Yes
- ☐ No

Comments: *No comments were provided*

- 120 **Material** Is there an evaluation of understanding included at the end of a training session? (Select all that apply)

- ☒ Evaluations are conducted
- ☒ Retraining is required if a successful score is not achieved
- ☐ No evaluations are conducted

Comments: *No comments were provided*

121 **Must** Does the facility provide training to employees who conduct security and agricultural inspections? (Select all that apply)

- ☒ Training material lists specific requirements
- ☒ Training logs list employees working in this area
- ☒ Training provided annually for existing employees with this job function
- ☒ Training provided for new employees with this job function
- ☐ No training logs for this specific criteria
- ☐ No training material for this specific criteria

Comments: *No comments were provided*

122 **Must** Does training include security criteria for restricted areas of the facility such as final packing, shipping and receiving? (Select all that apply)

- ☒ Training material lists specific requirements
- ☒ Training logs list employees working in this area
- ☒ Training provided annually for existing employees with this job function
- ☒ Training provided for new employees with this job function
- ☐ No training logs for this specific criteria
- ☐ No training material for this specific criteria

Comments: *No comments were provided*

123 **Must** Does Threat Awareness training inform employees of procedures to report suspicious activity or a security incident?

- ☒ Yes
- ☐ No

Comments: *No comments were provided*

124 **Must** Does Threat Awareness training provide additional instruction to shipping and receiving employees regarding access controls, container and trailer inspection, and security seal control procedures? (Select all that apply)

- ☒ Training includes shipping & receiving controls
- ☒ Training includes how to conduct container/trailer inspections
- ☒ Training includes container/trailer sealing practices
- ☒ Training includes how to control seals

☐ No specific additional training is in place for shipping & receiving personnel

Comments: *No comments were provided*

125 **Must** Does the training program include Threat Awareness, Contraband, Human Smuggling and Terrorism?

☒ Yes

☐ No

Comments: *No comments were provided*

126 **Material** Does the facility have a program to recognize an employee when reporting a security incident or recommending improvements?

☒ Yes

☐ No

Comments: *No comments were provided*

127 **Must** Does training include identifying pest contamination?

☒ Yes

☐ No

Comments: *No comments were provided*

128 **Must** Is there a documented training outlining the risks of Cybersecurity?

☒ Yes

☐ No

Comments: *No comments were provided*

Misc

NA

129 **None** Describe the front of the factory building including any signage. Please attach a picture.

No options available



[Front gate.docx](#)

Comments: The factory is located at No.701, B2 Building,Wanyang Zhongchuang Cheng, BinHai,ChunHu Street, Fenghua District,Ningbo City, Zhejiang Province, China. The factory is monitored by the security guard station, lightings, security CCTV system, security alarms. The perimeter is protected by a fence (made of concrete walls, 2 meters). There is one main entry gate of the industrial zone to control access in/out, closed by metal door and monitored by 15 security guards and extra 5 internal security guards were assigned to control access in/out for the accessed factory main entrance, the factory name is displayed on the factory main entrance on the 7F of Building #B2.

- 130 None Describe the guard station and facility access gates. Please attach a picture.

No options available



[Guard station.docx](#)

Comments: The security guard station was located at the main entry gate. A pedestrian entrance is available near guard station. 15 full time security guards of the Wanyang Industiral Zone on duty for 7 days per week, 24 hours per day for monitoring the access of the compound. The 5 full time security guards of assessed factory distributed to 2 shifts on duty for 7 days per week, 24 hours per day for monitoring the access to the factory, they ran two shifts: 08:00am-08:00pm, 08:00pm-08:00am. The main gate is monitored by CCTV system, security guards and lightings.

- 131 None Describe the buildings and structures for this location. Please attach a picture.

No options available



[Building.jpg](#)

Comments: The factory rented parts of 7F of one 7-storey building #B from the landlord Ningbo Zhongyin Technology Co., Ltd with total 5500 square meters, the building was made of concrete, and in good condition and solid enough to resist unlawful entry.

- 132 None Describe the shipping and receiving areas. Please attach a picture.

No options available



[Shipping and recei...docx](#)

Comments: The factory has designated one location for the international shipping area in empty space area of the factory, all protected with enclosed tape fence. This area is restricted, and the access is monitored by the warehouse manager and security guards. Security CCTV and lightings are also installed. The factory has posted the list of authorized employees in the area and kept updated.

- 133 None Describe how the perimeter of the facility is protected from unauthorized access? Please attach pictures

No options available



[Perimeter.jpg](#)

Comments: The factory installed a fence (made of concrete walls, 2 meters) around the factory. CCTV cameras are installed to monitor the full perimeter. Perimeters are well maintained and solid enough to resist unlawful entry. Regular patrolling is conducted by the security guard team every day.

- 134 None Describe the final packaging area. Please attach a picture.

No options available



[Final packaging ar... docx](#)

Comments: The final packaging area is located at one separate room of the building #B2, it is separated from other sections by metal doors and monitored by security CCTV system and security alarms. The access is restricted to authorized person. The list of authorized persons (name, position, picture) was posted at the entry of the final packaging area and kept updated. Register was required to monitor unauthorized access.

135 ☒ None Describe any container storage and vehicle parking areas and please attach picture.

No options available

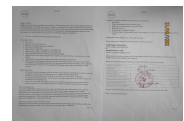


[Vehicle parking ar... docx](#)

Comments: There was no container storage area as the factory does not store containers, however when containers are inspected and loaded, they are located in empty space area of the factory. Parking lot is separated from loading/unloading area monitored by security guards. The factory provides parking areas for employees 'vehicles at the east side of factory building and the factory provides parking areas for visitors' vehicles along south fence with visitor parking sign marked. Sufficient lightings and CCTV cameras is available in designated vehicle parking areas.

136 ☒ None Did the Factory Representative and the Auditor sign the Opening Meeting Letter? Please attach the signed copy.

- ☒ Yes
☐ No



[Signed opening me... jpg](#)

Comments: *No comments were provided*

Attached Documentation - Photos

General - Question # 1



Business license.jpg

Conveyances and Instruments of International Traffic - Question # 40

集装箱10项检查记录

C-TPAT/22.01

集装箱号:	HXLXU5326985	货柜规格:	<input type="checkbox"/> 20GP <input checked="" type="checkbox"/> 40GP <input type="checkbox"/> 40HP
封条号:	HLD2652075	检查人:	王孝世
对货柜车司机的10项检查培训 (具体内容参考具体检查项目)		培训结果	<input checked="" type="checkbox"/> 合格 <input type="checkbox"/> 不合格
		司机签名:	张大明
具体检查项目			
检查部位:	检查要点:	检查结果	检查人签名
前柜壁	1. 如图片确认内侧挡块无误且前壁由镀锌材料构成。 2. 量测柜子内侧尺寸 自柜前壁至后门内侧 40 尺柜为39' 5" 即 12.02米, 20尺柜为 19.4" 或 5.89 米 3. 确认排气孔都可见没被异物堵塞或不存在 4. 用工具敲打前柜壁 应是空洞声	OK	王孝世
左侧	1. 查看结构梁有无不寻常的修补 2. 查看内外壁是否有可见的修补 3. 用工具敲打柜壁 应是空洞声	OK	
右侧	1. 查看结构梁有无不寻常的修补 2. 查看内外壁是否有可见的修补 3. 用工具敲打柜壁 应是空洞声	OK	
地板	1. 测量自地板至天花板的高度 40尺及 20 尺 应皆为7' 10" 或 2.38 米 2. 确认地板平整无高低不平的现象 3. 查看地板有无不寻常的现象	OK	
天花板/屋顶	1. 查看角落方块的顶端至屋顶顶端的距离 通常屋顶顶端略低于或与角落方块平高 2. 确认排气孔都可见没被异物堵塞或不存在 3. 查看天花板 / 屋顶内外是否有可见的修补 4. 用工具敲打天花板 / 屋顶 应是空洞声	OK	
柜门内/外	1. 确认柜门有牢固可靠的门锁机构 2. 查看门锁机构铆钉的样式及颜色它们应与其它铆钉一样式样与颜色 铆钉周围不得有有色的填充物 3. 确认在挂锁机构上通常洞的地方不得是无洞实体的板子	OK	
柜体外部及底部	1. 用镜子或目视集装箱底部所有支撑梁完整 无其他外物装订其间 2. 查看能从内部观察到的外部维修 3. 用工具敲打柜体外部及底部 应是空洞声	OK	
光线测试	关上柜门, 检查是否有光纤从柜外射入	OK	
内室	货柜内室是否干燥清洁, 适合装载	OK	
生物检查	是否带有有害生物, 病媒生物; 是否有被有毒有害物质污染, 是否带有土壤、动植物残留物等	OK	
安全主任随机抽查		<input checked="" type="checkbox"/> 合格 <input type="checkbox"/> 不合格	签字: 黄东春

2024/04/12

[Container inspection report.jpg](#)

Conveyances and Instruments of International Traffic - Question # 42



[Inspection tool for container.jpg](#)

Conveyances and Instruments of International Traffic - Question # 52

宁波怡恒工艺品有限公司 货柜车辆进出登记表

C-PTAT/06.04

序号	日期	进入时间	车牌号	封条号码	集装箱号码	司机签名	司机身份证号	目的地	访客证编号	离开时间	车辆检查	证件回收	封条是否完好	保安签字
1	2023/11/18	8:23	浙B.6595挂	HLU2652091	HLXU5205237	舒	522428198911	梅山港	002	14:53	✓	✓	是	
2	2023/11/25	8:25	浙B.868D挂	HLD2652075	HLXU5326985	张	330206197601	梅山港	004	14:55	✓	✓	是	
3	2023/11/27	13:17	浙B.1996挂	HLD2652072	TCLV4134388	曹	330206197602	梅山港	006	19:47	✓	✓	是	
4	2023/12/18	7:56	浙L.5123挂	00LECZ2167	00LU7879542	任	330226197709	梅山港	008	14:26	✓	✓	是	
5	2023/12/30	13:15	浙B.8928挂	00LECZ2178	IMTU165363	关	330283198611	梅山港	010	19:45	✓	✓	是	
6	2024/1/8	8:18	浙L.5123挂	00LECZ0102	00LU7326969	任	330226197709	梅山港	001	14:48	✓	✓	是	
7	2024/1/15	8:20	浙B.868D挂	00LECZ0035	00LU4523100	张	330206197601	梅山港	004	14:50	✓	✓	是	
8	2024/1/26	8:25	浙B.1996挂	00LECZ0163	00LU7672827	曹	330206197602	梅山港	007	15:00	✓	✓	是	
9	2024/2/23	9:35	浙L.5123挂	EMCGJD9357	HMCV1104714	任	330226197709	梅山港	010	15:55	✓	✓	是	
10	2024/3/1	10:35	浙B.1996挂	EMCG100KB447	HMCV1053474	曹	330206197602	梅山港	011	16:47	✓	✓	是	
11	2024/3/12	11:35	浙L.5123挂	00LECZ9764	FCGV1673312	任	330226197709	梅山港	009	17:49	✓	✓	是	
12	2024/3/20	12:35	浙B.1996挂	00LEDD1144	DFSU7327220	曹	330206197602	梅山港	013	18:51	✓	✓	是	
13														
14														
15														
16														
17														
18														
19														

备注：车辆进入工厂时，由值班保安对车辆进行检查，检查车辆是否改装过，并检查车辆底盘有无隐藏的装置或者包裹，如有异常，则在车辆检查栏填写：无异常，如有异常情况发生，应马上通知安全主任处理。

2024/04/12

[Driver Log.jpg](#)

Conveyances and Instruments of International Traffic - Question # 59



[ISO approved seal stored in secured cabinet.jpg](#)

Conveyances and Instruments of International Traffic - Question # 60

宁波怡恒工艺品有限公司	反恐安全程序文件		生效日期: 2023/11/6	
	编号: C-TPAT-02	版次: A/2	第 43 页	
受控文件	编制:	叶志文	审核:	范雷
			批准:	范碧英

第二十七章 C-TPAT-02-27 封条管理及破损处理程序

1. 目的
加强公司对装柜封条的安全控制, 规范封条的检验、发放及使用, 避免出现不符合 C-TPAT 要求的封条。
2. 适用范围
适用于接收封条的物流部和保管及使用封条的仓库、司机及其相关人员。
3. 工作职责
物流部负责人负责封条的接收、发放及检查。
4. 工作程序
 - 4.1 由物流部向海关提供封条需求申请, 封条必需有相应的检验报告, 以证明符合相关要求, 船务部需要向船运公司或海关索要《封条检验报告》。
 - 4.2 收到封条后必须对所有封条进行检查, 核对封条检验报告, 是否符合 ISO/PAS 17712, 如发现任何异常, 物流部需要向海关或船运公司汇报, 异常包括: 损坏、数量不符、遗失等。
 - 4.3 封条需要指定相应的封条管理员进行保管, 并出具《任命书》, 封条的使用及保管, 只能由封条管理员进行使用, 并登记, 其他人员不得使用及保管。封条管理员必须恪守敬职, 否则从严处理。
 - 4.4 装柜前, 仓库主管需向业务部领取相应的封条, 核对封条是否完好。
 - 4.5 如中途发现封条有损坏, 需要对集装箱进行重新检查, 确保无异常, 通知当地公安机关和客户, 并更换新封条, 且需要登记更新后封条的编号。
 - 4.6 装柜过程中, 如出现必须对货柜进行封闭的情况, 如中途吃饭, 由仓库主管发放封条对货柜进行封闭, 再次进行装柜时需要封条进行确认是否完好, 如出现异常, 必须向仓库主管报告异常, 重新检查货柜, 如无异常才能开始进行装柜。
 - 4.7 装柜完毕, 经安全组长进一步检查确认后, 对货物进行拍照, 照片中需明显地看到箱麦跟纸箱日子印, 即对运货车进行铅封, 对货柜车, 集装箱进行上封条。
 - 4.8 封条封锁完毕即对运货车进行高清晰度多方位的拍照, 照片中必须清晰显示车牌号, 车型, 车貌, 锁具和标贴及拍照时间。
 - 4.9 运输途中, 由厂报关中负责跟车到海关, 经报关员检查封条完整, 再用剪刀剪断封条交给海关, 加强对货物运输的跟踪。
5. 记录文件
每次出货均要做记录。并保存完整记录、录像资料及拍摄照片。
《任命书》
《封条检查记录》
《封条领用表》
《封条破损处理记录》

2024/04/12

[Security seal control procedure.jpg](#)

Seal Security - Question # 67



1175 CHURCH STREET • BOHEMIA, LONG ISLAND, NEW YORK 11716
AREA CODE 631 589-6300



14 Mar. 2024
412000-09-04-C13-0704

Certificate of Conformance for Freight Container Mechanical Seal Testing

Seal Classification: High Security

Customer:

Shanghai Cstar Logistics Co., Ltd.
1333 Fengpu Avenue,
Fengxian District, Shanghai City,
China

Attention:

Fifi Chen

Purchase Order No.:

PO19032701

Sample Type:

Bolt Seal

Seal Name:

Bolt Seals (as provided by customer)

Model No.:

NEW TSS-BS02 (as provided by customer)

Serial Nos.:

DTB 1 through DTB 26

Specification No.:

ISO 17712:2013(E) Clauses: 4.4.3 and 5

Test Dates:

18 and 20 Mar. 2024

A total of 30 samples were received. Dayton T. Brown, Inc. certifies that 26 samples, 5 for each test and 1 for measurements, of the Seals referenced above were subjected to the following tests.

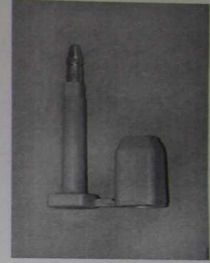
Test Name	Paragraph No.	Classification Rating
Bolt Seal Diameter Qualification	4.1.3	Meets Requirements
Tensile Test	5.2	High Security
Shear Test	5.3	High Security
Bending Test	5.4	High Security
Impact Test at Room Temp	5.5	High Security
Impact Test at Reduced Temp	5.5	High Security

Results: The above listed tests were completed with no discrepancies noted. Refer to Test Report No. 412000-19-04-R13-0705 for complete details.

The test results contained herein pertain only to the specimens listed in this report. This report shall not be reproduced, except in full, without the written approval of Dayton T. Brown, Inc.

Insured by:		J. Benincasa
Engineer:		K. Cummings

2024/04/12



INFORMATION CONTAINED HEREIN MAY BE SUBJECT TO EXPORT CONTROL LAWS. REFER TO INTERNATIONAL TRAFFIC IN ARMS REGULATION (ITAR) OR THE EXPORT ADMINISTRATION REGULATION (EAR) OF 1979

Pg 1 of 1

This document is digitally signed and certified to ensure content integrity and author's authenticity.

[Seal test report.jpg](#)

Procedural Security - Question # 70



[The shipping and receiving area.jpg](#)

Procedural Security - Question # 71

宁波怡恒工艺品有限公司	反恐安全程序文件		生效日期: 2023/11/6			
	编号: C-TPAT-02	版次: A/2	第 18 页			
受控文件	编制:	叶志文	审核:	范雷	批准:	范碧英

第十一章 C-TPAT-02-11 授权人员控制程序

1. 目的
为了有效的执行 C-TPAT 的安全防恐要求, 确保公司人员及货品的安全, 特制定此程序。
2. 范围
适合公司一些关键工作, 特殊部门、特殊区域、特殊岗位工作人员。
3. 责任
公司总经理对以上人员的工作, 进行授权批准。
4. 工作程序
 4. 1. 总经理根据公司的实际运作, 根据 C-TPAT 的反恐安全要求, 对以下进行授权批准。只有经授权批准的人员方有权力进入相关工作区域, 从事相关工作。
 4. 2. 公司的安全主任及保安队总经理批准, 负责公司所有的安全防恐管理工作, 能进入公司各车间部门。
 4. 3. 公司仓库管理区, 除授权的相关货仓管理人员外, 其余闲杂人员不得入内。
 4. 4. 公司包装车间, 除在包装车间工作的职员工及 QC, 其余人员不得随意进入包装车间。包装车间的职员工厂证颜色区别于其它工人。
 4. 5. 公司的电脑维护员, 电脑操作员由总经理授权, 应当保护好相关的电脑, 非指定人员不得随意接近电脑并进行操作。公司员工在请长假 (1 个月以上) 时, 需要收回其电脑及其他文件的权限, 更改账户密码。
 4. 6. 总经理需授权指定专职的成品出货 PMC 人员负责成品出货工作。
 4. 7. 总经理需授权指定专职报关员负责货柜封条报关管理工作。
 4. 8. 货柜车装卸储存区, 禁止未授权人员靠近或进入。
 4. 9、所有来访客人/车辆经保安盘查, 登记清楚后, 上报公司安全主任及保安队长后, 经批准后, 方可进入厂区。
 - 4、10 来访人员要进入包装车间/货仓/装卸货品区时, 需经总经理批准, 在安全主任或保安队长的陪同下带领方可入内。
- 5 访问授权
 5. 1 1) A 级权限: 计算机的系统操作、数据上传下载、程序变更等高级操作, 由各单位主管领导进行审核。
 - 2) B 级权限: 计算机数据的查看、监控, 由各单位计算机专员进行审核。
 3. 只有经批准拥有 A 级、B 级权限的人员, 方可对计算机进行相应权限的操作或数据查看, 不可越级操作, 如因权限不明, 造成损失的, 要追究权限人及审批人的责任。
 4. 拥有操作权限的工作人员, 要对其所使用的账户信息负责, 不得随意将账户交给或借予他人使用, 如因紧急情况需将账户信息交由他人使用的, 要报由专员现场进行监督, 使用后权限人要及时更改账户信息, 避免造成不必要的损失, 因账户信息外流而造成损失的, 要追究权限人及审批人的责任。
 6. 相关程序 《货柜封条管理程序》

2024/04/12

[Procedure to report unauthorized access to container.jpg](#)

Procedural Security - Question # 72

Procedural Security - Question # 73

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第十五章 C-TPAT-02-15 敏感区域控制管理程序

1. 目的
本程序的目的是确保货物在原材料及进入半成品与成品的过程中，遵守美国海关的 C-TPAT（海关-贸易伙伴反恐）安全指导，对进入重点敏感区域的人员与货物进行有效的监控，防止危险人员进入和危险物品混入成品，对货物造成危害。
2. 范围
本程序适用于厂区内所有的敏感区域（包括包装区、成品区、收发货区、仓库、运输车辆停放区、机房、监控室、工会办公室、财务室等）所有作业人员与作业流程。
3. 职责
敏感区域负责人对进出此区域的人员与物品进行监控，并记录备案。
4. 参考文件
C-TPAT 美国海关-贸易伙伴防止恐怖安全指导。
5. 程序:
5.1. 人员控制
5.1.1. 敏感区域作业人员的识别：在敏感区域入口处分别公布档上张贴所有在此区域作业的人员的彩色免冠照片，标注姓名，并告示准许这些人员在此区域进行作业，区分于其他部门作业人员。
5.1.2. 非敏感区域作业人员及其他部门人员的监控：在敏感区域入口处分公布档上张贴公告，告示非本区域作业人员不得随意进入受限区域，因工作需要须进入此区域，需先知会此区域相关负责人，并由该区域人员进行记录，记录内容须包括：部门、工号、姓名、进出具体时间、事由，陪同人。
5.1.3. 所有员工不得携带个人物品进入包装区、装卸区和成品区。
5.2. 货物控制：
5.2.1. 原材料的进入控制：
5.2.2. 半成品的进入控制：所有半成品进入包装部之前，都需填写《半成品交接单》，包装组人员根据此数进行点数查收，并记录。无误后方可进入包装区。
5.2.3. 成品出仓的控制：包装组凭《入库单》对成品进行入库，仓库对所有成品出货前，都需填写《出货记录》，根据这些表单详细清点数目，检查包装等情况，确认所有成品与各表单充分对应。无误后方可出仓。
5.2.4. 当所有员工下班离厂，各车间指定人员检查所有门窗是否上好锁。
6. 相关文件
无
7. 相关记录
7.1 授权人员进出限制区域进出登记表》
7.2 限制区域授权名单》

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第三十四章 C-TPAT-02-34 物料凭据管理程序

1. 目的
- 本程序明确送货单据的开具、经手、保存等管制措施，以保证公司进、出货物的账目清晰、手续完善。对运输资料或资料系统的控制以防无许可接触，避免被不法分子利用而导致盗窃或恐怖事件。
2. 适用范围
- 适用于仓储部工作人员、司机等凡是接触运货单及运货资料的人员。
3. 工作职责
- 仓储部工作人员核实收发货单据，点收或发放货物后签名确认，仓储主管审核、保存原始单据交财务部负责人。
4. 工作程序
- 4.1 仓储部工作人员须收到相关的指令性文件资料等，方能进行收发货工作，如采购部发出的《采购订单》、单证部发出的《销售通知单》等，仓储部工作人员必须核实货物的名称、规格、数量等，在此过程中，一定要警惕非货物单料的进入，在确认无误后才可签收。
- 4.2 对于收发货单据，托运成品货单据等资料的原始单据于收发货后次日（二十四小时内）交财务部及负责人存档。
- 4.3 仓储部只保存运货运单复印件一个月，在每月的月底将所有复印件交公司存档。
- 4.4 对于公司的运输资料系统要严格保密，特别是客户如 AQL 资料和系统要确保控制以防无许可的接触。
5. 相关记录
- 5.1 《采购订单》
- 5.2 《销售通知单》
- 5.3 装箱单

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第二十八章 C-TPAT-02-28 溢短装控制程序

1. 目的
- 为了有效管理成品出货, 保证产品质量、数量符合要求, 明确产品包装至出货各环节的岗位职责, 加强对本厂出口货物的管理, 以期按照客户要求的标签、重量、数量准确无误的做好相关工作。
2. 适用范围
- 本厂产品数量、重量包装过程中及成品出货安全的有效控制。
3. 职责
- 3.1 包装车间主管负责在产品包装过程中的监管, 确保每一箱产品内包装数量及质量符合要求, 确保批量生产成品与生产单一致;
- 3.2 成品仓主管负责出货装运箱数与提货单一致, 并核实出货重量与报关一致。
4. 内容
- 4.1 产品包装过程中数量与重量的控制
- 4.1.1 产品包装车间指定专人负责产品内打包封箱点数核实工作;
- 4.1.2 产品入箱后在封箱前必须按照箱唛标示数量进行点数核实, 确认无误后方可封箱;
- 4.1.3 产品封箱后, 须立即过磅, 并核对重量与箱唛标示重量是否相符;
- 4.1.4 完成上述产品逐箱数量、重量核准后方可摆放在卡板上, 集中摆放在卡板上时必须层 次分明, 整齐堆放;
- 4.1.5 卡板上摆放的箱数必须每一层的数量一致及每一板总数量一致, 如属尾数必须贴上标记, 注明尾数数量;
- 4.1.6 批量产品包装完工后, 产品包装主管须清点整批产品数量是否与生产单一致, 并 填写《产品入仓单》;
- 4.1.7 产品入仓须详细说明: 生产单号、款号、数量以及各卡板堆放数量、尾数等;
- 4.1.8 经确认核实数量之成品, 在入仓搬运途中不准再改变卡板数量及严禁拆箱。
- 4.2 产品入仓数量与重量的控制
- 4.2.1 成品仓主管按照《成品入库单》对入库成品之数量及重量进行核对;
- 4.2.2 每一张生产单中的每一个款号抽查 6 箱产品过磅;
- 4.2.3 须仔细核对每一个卡板上的箱数;
- 4.2.4 如果发现摆放在卡板上的成品箱数、重量及细数与《成品入库单》不一致时, 须即通知产品包装车间, 协助其查明原因, 直至确认无误后方可入仓;
- 4.2.5 核对外箱标签、总箱数、重量无误后, 按照出货排期先后顺序合理规划存放位置, 并在成品上贴上《成品标示卡》。
- 4.3 出货控制
- 4.3.1 装柜前, 成品仓主管负责核算货品体积是否符合集装箱要求, 如发现体积不一致时, 应及时与客户联络, 与客户沟通相关事宜;
- 4.3.2 成品仓主管接到“出货资料”通知后, 应及时对所需要出货的成品货号、PO、出货数量、出货箱数进行核对是否有误, 直至无误为止, 并将要出货的货品迁移至出货区域, 并重新核实每一卡板的数量及尾数, 核实出货区域产品数量就是出货装柜数量;
- 4.3.3 将逐板的箱数加总并核对“装箱清单”上总箱数一致后方可装车;
- 4.3.4 产品装柜过程中, 成品仓主管必须全程监察, 以防他人调换货品或漏装货品。

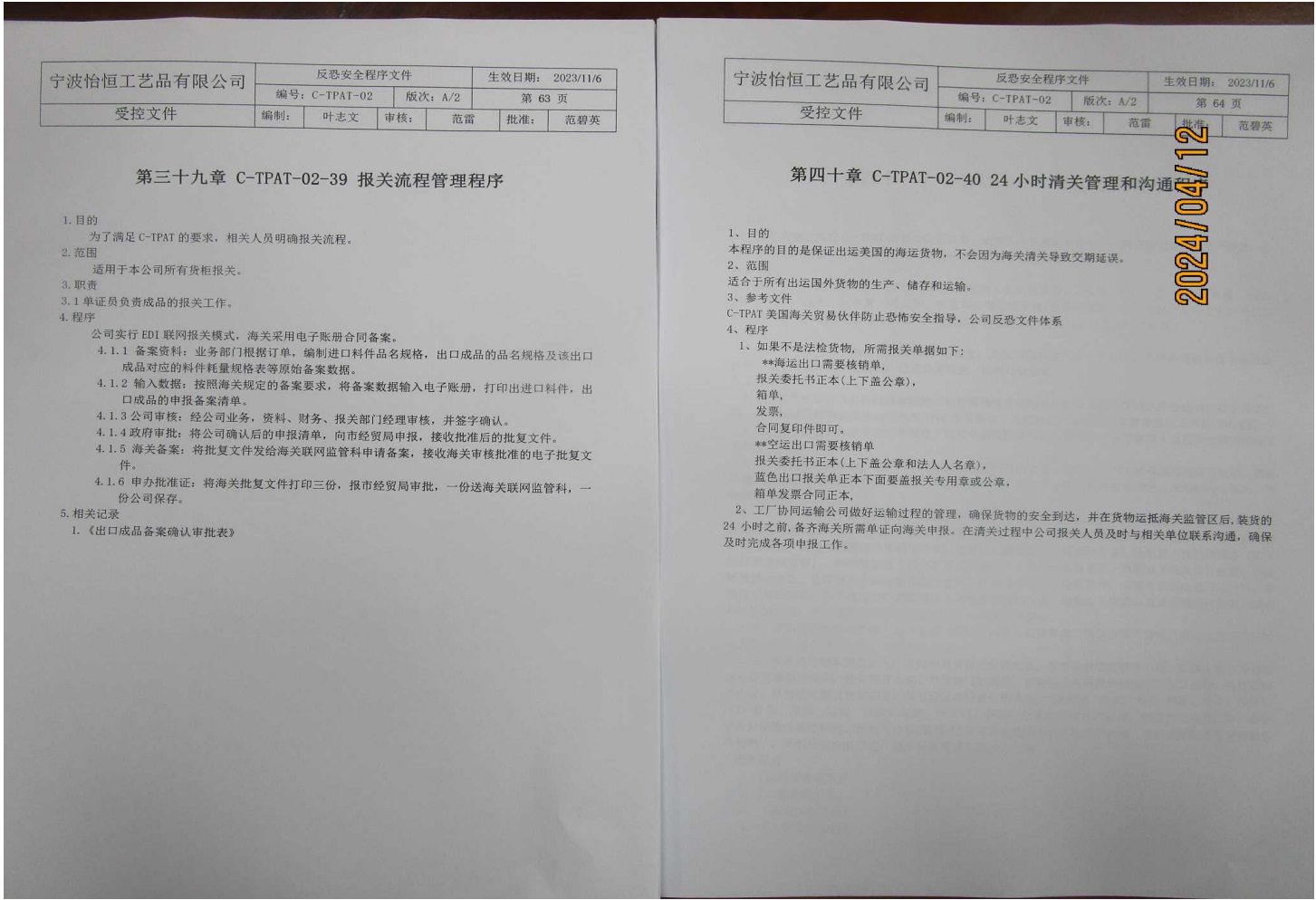
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5. 相关记录
无

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[Carton shortage or overage control procedure.jpg](#)

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[International shipment management procedure.jpg](#)

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第三十二章 C-TPAT-02-32 获得信息许可程序

一、目的

通过对市场、产业及企业内部信息的集成和处理, 为公司战略管理服务, 为企业业务运行提供服务; 并通过对信息技术的应用与管理, 使信息技术成为企业管理水平逐步提升的重要工具。同时, 又要防止不法分子通过盗取自动化体系信息、公司文件、船务表格、装货数据、货物运输信息、封条信息等各种公司信息资源, 破坏公司的正常生产和成品出货、运输及使用。

二、范围

适用于公司内部所有信息, 包括自动化体系信息、公司文件、船务表格、装货数据、货物运输信息、封条信息等。

三、工作程序

公司根据主要的一些信息, 设定可以接触此类信息的人员, 其余人员不得接触;

具体的信息资源如下:

- 1、自动化体系信息:** 公司所有利用电脑办公的员工, 包括台式电脑和笔记本;
- 2、公司一般文件:** 此类信息只能由公司管理层、安全主任、仓管及保安接收和利用;
- 3、船务表格:** 此类信息只能由业务人员和装柜中必须根据船务表格来装货或是监督的员工接收和利用, 主要是安全主任、船务及保安;
- 4、装货数据:** 此类信息只能由业务人员和装柜中必须根据装货数据来装货或是监督的员工接收和利用, 主要是安全主任、仓管、搬运工及保安;
- 5、货物运输信息:** 此类信息只能由跟踪货物运输情况的员工接收和利用, 主要是安全主任、业务员、跟单、负责跟进货物运输情况的人员和保安;
- 6、封条信息:** 此类信息只能由接触封条的人员接收和利用, 包括安全主任、专门负责管理封条的人员和保安;

四、根据以上信息资源许可, 制作相关表格《许可获得相关信息的人员名单》

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[Shipping_and_receiving_documentation_management_procedure.jpg](#)

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第五十九章 C-TPAT-02-59 货物运输紧急情况汇报程序

1.0 目的
为了在货物运输过程中, 发生紧急情况能够第一时间通知工厂、当地执法机关、海关及客户, 特制定本程序

2.0 范围
本程序适用于成品和半成品出货和运输过程

3.0 具体异常情况汇报
3.1 在装货过程中, 出现异常情况, 如有可疑人员进入装卸区、未经许可的物料被引入, 应第一时间报告安全主任、保安, 对该情况及时进行检查处理, 若情节严重, 应向当地执法机关、海关及客户汇报情况, 并作出处理。
3.2 发生封条损坏, 更换情况, 应向客户、海关报备。锁具装置必须是具有较高防盜, 防破坏性能的一次性封条。
3.3 货物在发运前, 船务人员须将出货资料正确完整地发给客户, 以确保客户在接收货物时可以核对出货数据和托运单进行确认货物的品名、规格、重量、数量、是否准确;
3.4 运输过程中如发现任何异常事件应及时与我厂船务部负责人联系, 并由我司船务负责人向执法机关、海关及客户汇报, 如: 非正常原因的延误、非正常原因的变更行单路线、有任何不明身份且未经授权的人员或货物欲接近所运货物的企图等。
3.5 运输途中或海关检查发现出货列表及其它相关数据与实物品名、规格、重量、数量及包装方式等不相符时须立即进行调查, 甚至立即报警及通知海关部门, 以防止货物丢失、篡改或混入不明的危险物品等不法活动, 并将情况向客户汇报。
3.6 当货柜转到下一个供应商或目的地时, 首先要检查封条是否完整, 如果发现不完整立即报警及通知海关, 并及时向客户汇报情况。
3.7 目的地货物接收发现出货列表及其它相关数据与实物品名、规格、重量、数量及包装方式等不相符情况时, 须立即进行调查, 甚至立即报警及通知海关部门, 以防止货物丢失、篡改或混入不明的危险物品等不法活动, 并在事故发生后的 24 小时内汇报给客户。

4. 紧急情况汇报

当地派出所	110
厂部联系电话	119
救护车	120
服务热线	12360

海关电话 (上海) 021-68890000; (宁波) 0574-89090000

[Reporting illegal shipping activity procedure.jpg](#)

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第六章 C-TPAT-02-06 保安工作指引

1. 目的

为确保产品在生产、贮存、运输的过程中, 遵守美国海关的 C-TPAT (海关—贸易伙伴反恐) 安全指导, 以便在美国以外的运输海关清关不会推迟, 或由于窃贼、恐怖分子使用以上的环节作为违禁物品进入美国的运输工具。
2. 范围

适用于保安对厂内一切安全维护的活动。
3. 职责

安全经理: 负责厂区内一切安全工作的策划及安排。
保安员: 对厂内一切安全维护工作
4. 参考文献

C-TPAT 美国海关—贸易伙伴反恐安全指导。
5. 程序
 - 5.1 安全培训
 - 5.1.1 所有保安员必须接受安全教育, 认知危险意识和识别内部阴谋的培训。培训内容包括: 消防、反恐人员及车辆出入处理, 维护厂区内安全工作等。
 - 5.2 生活区安全维护
 - 5.2.1 所有员工凭个人有效厂证 (工作牌) 进出厂内外, 无佩戴证者保安员必须进行相关询问并拒之门外; 来访者须向保安说明来访原因, 填写《来访人员登记表》后, 由保安员通知被访者, 被访者须凭经理或经理级以上签批的便条在保安处进行相关资料登记后方可带领来访者进入生活区。
 - 5.2.2 保安员必须维护生活区的保安工作, 管理员工遵守宿舍管理制度, 解决员工间的冲突, 维持正常生活秩序。
 - 5.2.3 不定时对宿舍进行检查, 如发现非本厂员工应立即对其进行询问, 并作出相应处理, 严重的上报地区公安局或派出所等法律部门处理。
 - 5.3 厂区安全维护:
 - 5.3.1 所有员工凭有效厂证 (工作证) 进入厂区, 无佩戴厂证者将受到询问并被拒之门外, 工作时间内员工需离开厂区的凭部门主管签发的“放行条”方可离开, 并要登记。
 - 5.3.2 来访者需到门卫值班室说明来访原因, 并做好《访客登记》, 值班员实时进行电话通知被访人, 情况属实的发给来访客人“访客证”或“临时访客证”。由保安员带领或被访人带入公司, “访客证”发放范围为: 建立长期合作关系的客户、供应商、承包商、客户代表 (驻厂 QC) 等, 其它发放“临时访客证”。佩带“访客证”的人员可在公司非限制区域活动, 佩带“临时访客证”的人员则需要本公司人员陪同才能在公司范围活动, 访客证件在当天访客离开公司时要交回保安人员。
 - 5.3.3 车辆登记, 外来车辆进入厂区要对车上人员进行访客检查, 并检查车厢内有无可疑物品, 记录于《车辆进出登记表》内, 符合进入条件的方可发放外来车辆临时通行证, 停放在公司指定的停车位置, 离开时检查车辆, 回收外来车辆临时通行证, 并记录离开时间。
 - 5.3.4 保安人员负责对货物装卸的场地及停车场的监控, 禁止未经许可的人员进入。

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- 5.3.5 保安员在厂区内进行定时巡查, 如发现无证人员, 应及时通知进行询问, 并保存相关记录, 严重的需上报当地部门处理。
- 5.3.6 制订安全改善计划, 调查厂内安全, 每月进行内部安全检查一次, 结果由安全经理。对于邮件、包裹的控制, 需要进行相应的登记, 做好《邮件及包裹收发记录》, 要求员工下来领取包裹及邮件, 在发现可疑邮件或者包裹, 可要求员工在保安人员指定的安全区域, 拆开邮件或者包裹, 确认没有问题后, 方可离开。
- 5.3.7 保安需要轮流值班, 维护生活区和厂区的安全, 每小时都要对厂区进行巡查, 做好《24 小时巡逻记录表》
- 5.4 装卸货物的监控
 - 5.4.1 在装卸区域内进行货物半截时, 需由保安人员进行监控, 未经许可人员或车辆不得进入该区域内。
 - 5.4.2 货物在装载好后应立即上锁, 并由安全人员确认, 司机在领取仓储开出的运输单或报运单后方可将货物运出厂。
 - 5.4.3 安全经理或指派人在卸货区域对外来物料的监控, 禁止一切无货单物料进入货仓内。
- 5.5 离厂员工:
 - 5.5.1 被解雇及辞退的员工名单由人事部提供, 由保安员负责监督对辞退员工行李的检查, 办理退出床位手续, 安排在下班时间进行检查及相关询问后方可离开, 并收回厂证。
 - 5.5.2 离职员工一经离厂后, 保安员有责任不再让其进入厂区内。
6. 相关记录
 - 6.1 《来访人员登记表》
 - 6.2 《车辆进出登记表》
 - 6.3 《邮件及包裹收发记录》
 - 6.4 《24 小时巡逻记录表》
 - 6.5 《货柜车辆登记》
 - 6.6 《上班时间员工进出厂记录》
 - 6.7 《访客预约登记》

[Access control procedure.jpg](#)

Procedural Security - Question # 82

[Notify business partners of security issues.jpg](#)

Procedural Security - Question # 84

宁波怡恒工艺品有限公司	反恐安全程序文件		生效日期: 2023/11/6	
	编号: C-TPAT-02	版次: A/2	第 35 页	
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受控文件				

第二十三章 C-TPAT-02-23 紧急事件处理程序

1. 目的
- 1.1 明确突发性紧急事件, 本公司员工如何及时把突发紧急事件准确的汇报给相关主管部门及相关的安

全主管人员, 确保突发性紧急事件得到及时处理, 将紧急事件对生命、财产构成的危险降到最低。

1.2 明确突击检查的相关事宜, 以保证厂区内安全工作的有条不紊, 保证每项工作均在进行的。
1. 适用范围
2. 工作职责
- 3.1 安全小组负责处理突发事件的总指挥工作。

3.2 行政部负责突发事件的处理。

3.3 各部门主管配合处理突发事件紧急处理与汇报工作。

3.4 安全小组负责进行突击检查。
3. 工作程序
- 4.1 紧急事件汇报事件包括: 货物、集装箱、拖车失窃事件; 非准许运输车辆、人员撞入事件; 有预

谋破坏公司财产、侵犯员工人身安全事件; 火警事件; 员工打架事件; 员工工伤、突发生病事件

等。

4.2 由安全经理主导, 成立安全突击检查小组, 各部门协同安全经理制定《各部门安全负责人名录》

表。

4.3 公司员工在遇到突发事件发生时, 应立即向安全组长或部门主管汇报。

4.4 当部门主管或值班保安接到员工紧急事件的事件汇报后, 应立即处理并汇报给安全经理和行政

部主管。

4.5 保安员在值班时发生紧急事件, 应立即把紧急事件的情况及时汇报给行政主管或安全组长。

4.6 安全组长或行政部主管接到紧急事件汇报后, 如情况严重, 应立即组织安全小组人员进行实施(附

件一) 并向当地法律执行部门汇报, 事件发生后 24 小时内将事件经过销售部汇报给客户安全主

管人员。

4.7 安全经理根据安全小组的工作状况, 临时抽取部门安全组员每月进行对厂区进行安全突击检查, 检

查的内容主要根据《反恐安全内审检查报告》, 主要就八个方面进行检查, 以确保符合。另安全经理

可安排做一些现场的测试及模拟, 比如安排人员闯入门卫或厂区, 以测试保安及员工的反应等等。

每次突击检查后, 需要填写《反恐安全突击检

查报告》。

4.7 制定一份《安全事项联系名录》表, 注明安全经理、总经理、当地派出所、主要供应商、客户及

船运公司或货代公司的联系方式, 对出现的紧急事件能够及时汇报和反馈, 汇报联系人名单

安全经理:

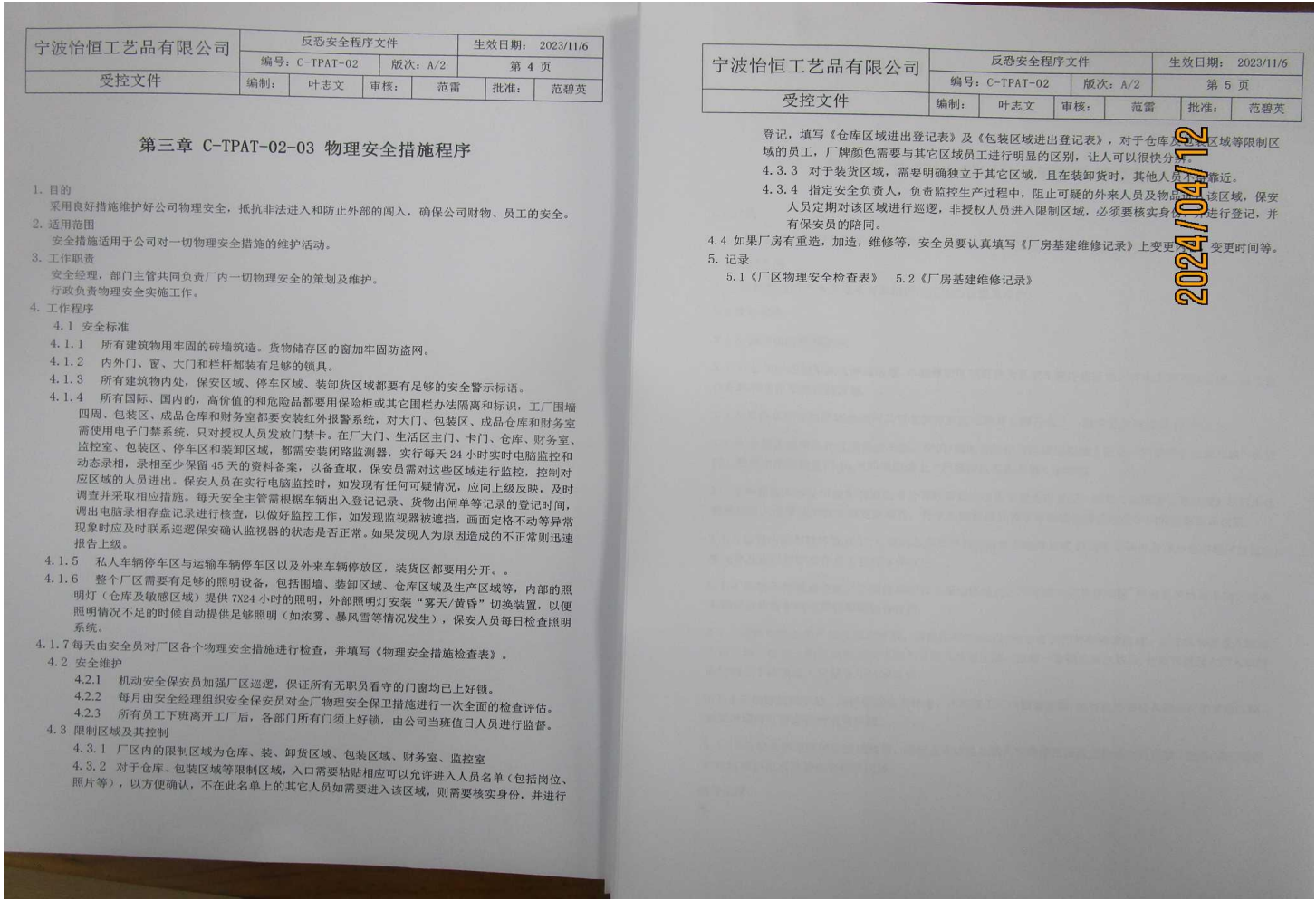
行政部经理:

紧急联系电话号码: 报警: 110

派出所:

火警: 119

医院急救: 120
5. 记录表单
- 2024/04/12



[Physical access control procedure.jpg](#)

Physical Security - Question # 89



[The designated vehicle parking area.jpg](#)

Physical Security - Question # 92



[Solid fence to limit unauthorized access.jpg](#)

Physical Security - Question # 93



[Main gate locked and secured.jpg](#)

Physical Security - Question # 94



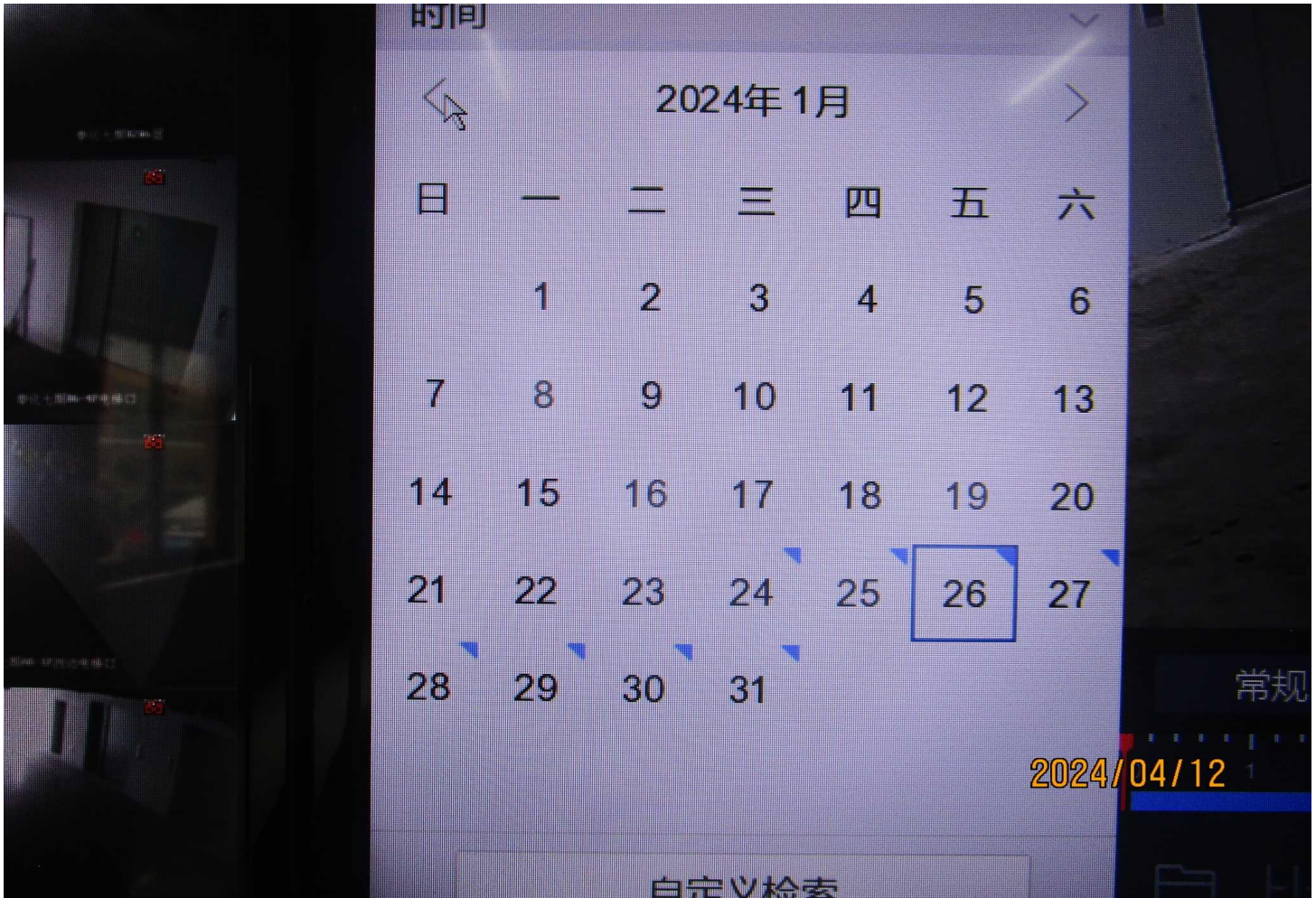
[No lighting on fence.jpg](#)

Physical Security - Question # 101



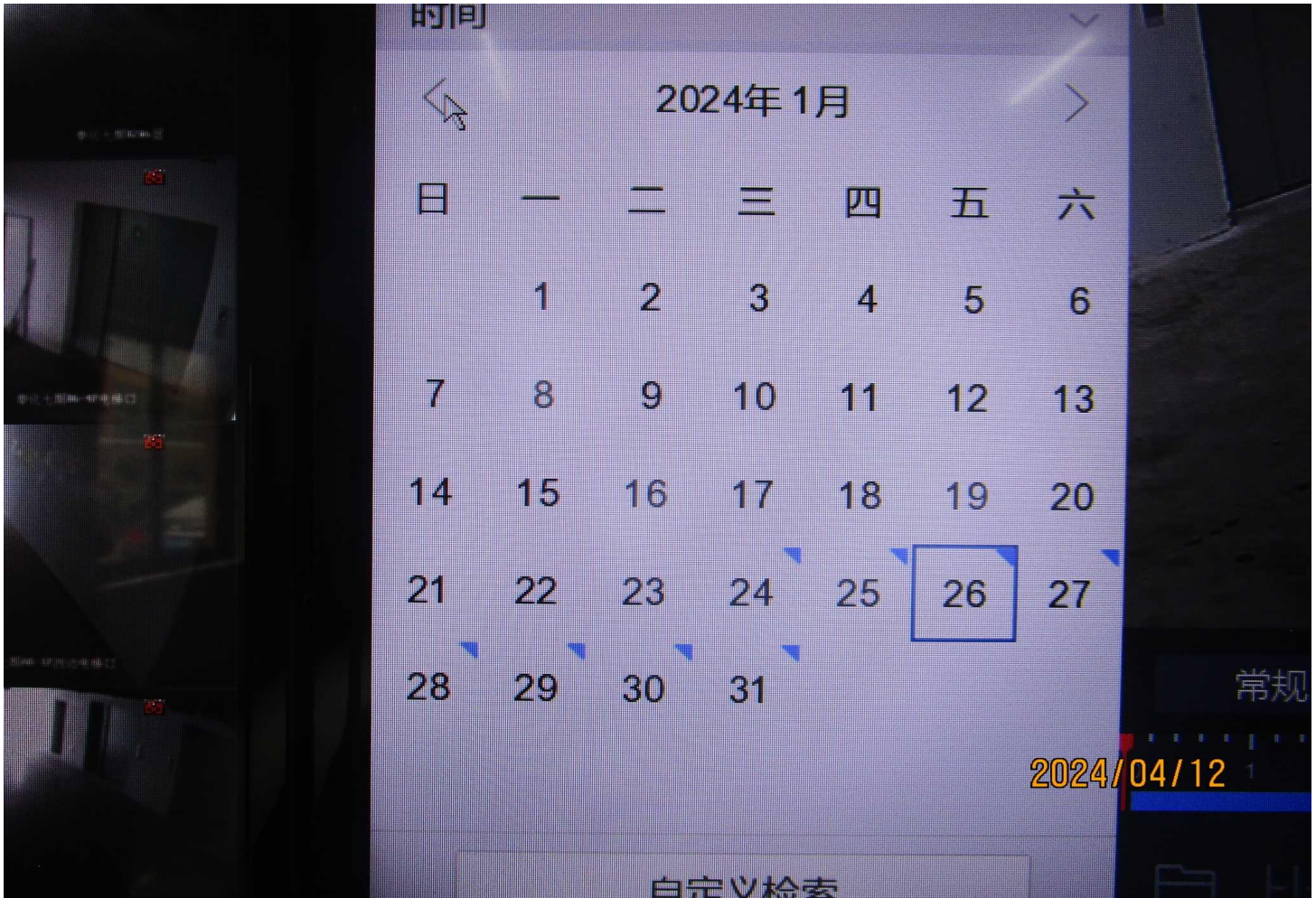
[CCTV control system.jpg](#)

Physical Security - Question # 103



[CCTV records.jpg](#)

Physical Security - Question # 106



[CCTV records.jpg](#)

Physical Security - Question # 110



[Visitor badge.jpg](#)

Misc - Question # 131



[Building.jpg](#)

Misc - Question # 133



[Perimeter.jpg](#)

Misc - Question # 136



Internal

What is SCAN?

SCAN is an industry trade association that provides a common approach to use acceptable global compliance standards to perform a facility security audit. SCAN has standardized the security audit format and content in order to share the audit result with all SCAN members that use the same facility thereby reducing audit fatigue that the vendor and manufacturing community currently undergo. SCAN membership has grown and we encourage you to advise other business partners of SCAN and its goals and objectives.

- For more information visit www.scanassociation.com

The Auditor Will:

- Be on time
- Be professional and courteous
- Maintain acceptable appearance standards
- Be a subject matter expert
- Will not ask for a gift in exchange for a favorable audit
- Will not accept a gift in exchange for a favorable audit
- Will immediately report any attempts at gift giving to SCAN
- Will pay for his or her personal expenses to include a meal at the facility or transportation to/from facility
- Will explain the purpose of the audit and how the audit will be accomplished
- Will have a closing meeting to allow for the facility to ask any questions or provide any additional information or supporting documentation for any of the areas covered. The Auditor will not advise of pass or fail rating, or disclose any or all gaps identified (gaps will be addressed during the CAPA process)

About this Audit

- A Pre-Audit Checklist is provided prior to the audit. By accurately completing the assessment and then making any necessary security improvements will support the overall audit result
- Provide the auditor with access to all areas of the facility that involve areas of the audit
- The auditor will take pictures of some documents or security requirements of the audit. Pictures are included in the audit report only
- At the end of the audit, the auditor will review any additional documents or information that will support any portion of the audit that might have not been available during the time of the audit

Factory Obligations

It is strictly prohibited to share any results or reports of SCAN audits with "NON SCAN" business partners. Factories/Vendors may only share the SCAN ID with other business partners along with any contact information of the organization should that business partner wish to inquire further information. SCAN will notify the entire membership of any allegations or confirmations of a factory/vendor sharing SCAN audit outside the organization. SCAN will consider imposing additional penalties on the factory/vendor. Signing below acknowledges you understand this policy.

SCAN Audit Program Gifts and Gratuity Policy

SCAN desires to ensure that an audit is performed accurately and with integrity and prohibits an auditor from requesting or accepting any gift while at the facility or after the audit is completed.

Page 1 of 3



Internal

Examples of a gift or gratuity may include but are not limited to:

- Free Goods
- Tickets to sporting or entertainment events
- Kickback in any form of money or merchandise
- Special Discounts
- Discontinued or Obsolete samples
- Paid trips, liquor, food products, meals, transportation, or professional services provided by facility or supplier

Signing below acknowledges you understand this policy.

Please report any instance of an auditor asking for a gift or gratuity to:

SCAN Program Administrator

Email: scan@scriskolutions.com

&

Executive Director, SCAN

Email: David.Blackorby@Yahoo.Com

Additionally, the auditor will report to the SCAN Program Administrator and SCAN's Executive Director any incident of the factory offering a gift or gratuity.

Please document below that the audit was conducted and keep a copy for your records.

Audit Company Name	Eurofax
Audit Date	April 12, 2014
Auditor Name	[Signature]
Auditor Signature	[Signature]
Facility Representative Name	[Signature]
Facility Representative Title/Role	1st Shift
Facility Representative email	PA26c14@eurofax.com
Facility Representative signature	[Signature]

Contact the SCAN Program Administrator with a question or concern about this audit:

Email: scan@scriskolutions.com

2024/04/12

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[Signed opening meeting letter.jpg](#)