



Ningbo Zhenhai Chengdi Stationery Co.,Ltd

2020 SCAN Security Audit

Report #	EA-2021-04-0018
Audit Submitted	Apr 11, 2021
Compliance Score	82%
Audit Type	EXTERNAL AUDIT



This Report Applies Solely for SCAN - Supplier Compliance Audit Network

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LOCATION INFORMATION

Ningbo Zhenhai Chengdi Stationery Co.,Ltd

No.728, West Zhenluo Road, Luotuo Street, Zhenhai District
Ningbo, Zhejiang, China
315202
86-13586510976

SCAN ID: CN69T7923RNI

Point of Contact Name: Xu Xiaomei

Point of Contact Email: 1955376534@qq.com; 2853376002@qq.com; 2853376019@qq.com; sales2@cd-stationery.com

Target Month: 02/18/2021

Contact Name	Phone	Email
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Location: Ningbo Zhenhai Chengdi Stationery Co.,Ltd

Primary Location: Yes

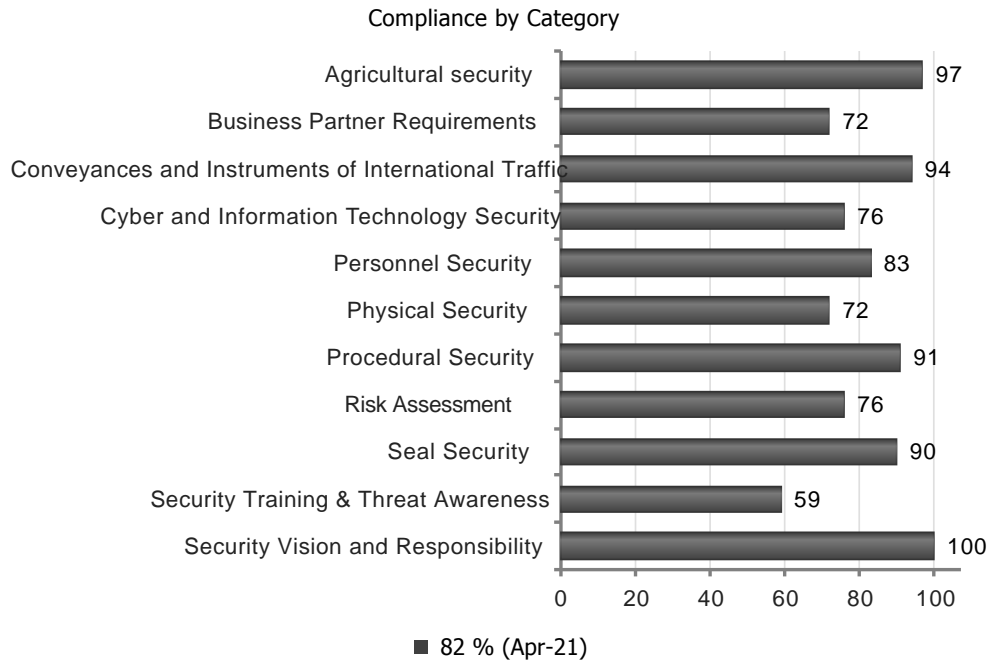
Critical Location: No

Assigned Auditor: Eurofins

Schedule Date: 04/09/2021

SCAN - 2020 SCAN Security Audit
Audit submitted on April 11, 2021

82% Compliance Score



BUSINESS PROFILE INFORMATION

Profile Question	Response
Does the facility participate in any government, local customs, or World Customs Organization (WCO) accredited facility security program?	<i>No</i>
Do you hold a Government Supply Chain Security Certification?	<i>No</i>
Has the facility been reviewed or audited by this program?	<i>Yes</i>
Primary Industry of Operations	<i>General Consumer Merchandise</i>
Product Type / Commodity	<i>Picture book, notebook</i>
Year Established	<i>2006</i>
Grounds Size (Square Meters)	<i>1500</i>
Number of Buildings	<i>2</i>
Facility Size (Square Meters)	<i>6500</i>
Number of access points? (i.e. gates, exterior doors)	<i>1</i>
Hours of Operation	<i>8 hours (08:00am-12:00am / 13:00pm-17:00pm) from Monday to Saturday</i>
Number of Employees	<i>101 - 500</i>
Number of Contract Employees	<i>163</i>
Number of Security Guards	<i>6</i>
Number of Migrant Workers	<i>72</i>
Annual Revenue	<i>greater than 100 Million</i>
Does the facility outsource any manufacturing services?	<i>No</i>
What countries does this facility export to?	<i>USA, UK, Germany</i>
Does this facility have affiliate locations where any work is conducted or product stored?	<i>No</i>
Does the facility outsource any transportation services?	<i>Yes</i>

Company Name	Contact Name	Contact Email	What % of Time Used?
Ningbo Dawo International Forwarding Co. Ltd	Not provided	Not provided	100

No, the facility has obtained an export license

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

AUDIT RESPONSES

Overall Compliance Score: 82 %

Audit Sent: 4/11/2021

Due Date: 2/19/2021

Security Vision and Responsibility

100%

Question

1. Does the Business License match the current location name and address as in the audit sheet? If no, please attach current scanned copy or picture of the facility's Business License.

Actual

- Yes
 No



[Business Licence.jpg](#)

Comments: The address in audit sheet is 4th building, No.728, West Zhenluo Road, Luotuo Town, Zhenhai District, while per BL is No.728, West Zhenluo Road, Luotuo Street, Zhenhai District, which is same and match with current location.

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

Actual

- Yes
 No POC listed in contacts on factory profile

Comments: No comments were provided

Risk Assessment

76%

Question

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

Actual

- Yes there is a written risk assessment
 No risk assessment available

Comments: No comments were provided

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

Actual

- Yes the factory risk assessment is shared with business partners
 No the factory risk assessment is not shared with business partners

Comments: The facility does not share the risk assessment with business partners and

contractors.

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

Actual

- Yes
 No

Comments: The facility's risk assessment does not include vulnerabilities specific to contracted service providers such as seasonal employees.

-
6. *Must* Is the facility risk assessment updated periodically?

Actual

- No updates noted or last update greater than 24 months ago
 Last update reflects a date within the past 12 months
 Last update reflects a date between 12 months and 18 months
 Last update reflects a date between 18 months and 24 months

Comments: No comments were provided

-
7. *Material* Define the facility's cargo mapping process. (Select all that apply)

Use NA only if the arrangement of transportation at origin is strictly managed by the customer or the customer's representative.

Actual

- A written cargo process map is available
 No 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
 NA

Comments: No comments were provided

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

Actual

- No documented crisis plan available
 Crisis plan includes communication to business partners of crisis related issues
 Crisis plan includes potential alternative locations if facility is rendered unusable
 Documented crisis plan available

Comments: No comments were provided

Business Partner Requirements

72%

Question

9. Does the facility contract services such as security, transportation or manufacturing labor?

Actual

- Yes
- No

Comments: No comments were provided

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

Actual

- Yes - Security criteria reviewed and provided in Local language
- Yes - Security criteria is reviewed but not provided to business partners
- No - Security criteria is not reviewed at all
- Yes - Security criteria reviewed and provided in English only.



[Security criteria to business partner.jpg](#)

Comments: No comments were provided

11. *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)

Actual

- 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
- No screening process takes place
- Screening process includes monitoring for financial stability

[Screening Process.docx](#)

Comments: The facility's screening process does not include looking for evidence of money laundering and terrorism funding.

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

Actual

- No
- Yes - Annually
- Yes - Minimally every 2 years

- Yes - At time of contract initiation only

Comments: The facility does not require its contracted business partners to conduct an annual security risk assessment of their operation.

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

Actual

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

Comments: The statement of compliance does not include the minimum security requirements 2019.

Cyber and Information Technology Security

76%

Question

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

NA is applicable only if there are no internet enabled network systems.

Actual

- Yes - Policy is written and was updated within the past 12 months
 Yes - Policy is written and was updated within the past 12-18 months
 Yes - Policy is written but last update was greater than 18 months ago
 No written policy is available
 NA



[Cyber security policy.jpg](#)

Comments: No comments were provided

16. *Must* Does the facility have firewall and malware software deployed/set up to identify, protect, detect, respond and recover their network? (Select all that apply)

NA is applicable only if there are no internet enabled network systems.

Actual

- Firewall deployed
 Malware software installed
 No firewall or malware software deployed
 NA

Comments: No comments were provided

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

NA is applicable only if there are no internet enabled network systems.

Actual

- Manual updates installed by on site IT services as needed
- No updating is performed
- Software updates are automatically deployed from the software providers
- NA

Comments: No comments were provided

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

NA is applicable only if there are no internet enabled network systems.

Actual

- Vulnerability tests are conducted by IT personnel
- No vulnerability tests are conducted
- NA

Comments: The facility does not conduct any vulnerability tests.

19. What actions are taken when problems are identified while testing firewall, malware, and other network vulnerabilities?

Comments: The onsite IT staff would reinstall the system, but as the facility doesn't perform any test, the auditor could not confirm effective implementation

20. *Material* To whom does the facility report Cyber security threats and attempts at unapproved access to network systems?

NA is applicable only if there are no internet enabled network systems.

Actual

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

Comments: The facility only report cyber security threats and attempts at unapproved access to network systems to Xu Xiaomei / IT Supervisor and government agency but not report to other related external stakeholders.

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

NA is applicable only if there are no internet enabled network systems.

Actual

- No
- Yes - Please describe systems
- NA

Comments: The facility have automated systems (Windows) in place to monitor and prevent attempts of unauthorized access and tampering with systems and/or electronic data.

22. *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?

NA is applicable only if there are no internet enabled network systems.

Actual

- Management reviews annually
- Management reviews quarterly
- Management reviews monthly
- No management review conducted
- NA

Comments: The facility does not conduct management review the employees with network access in order to restrict access to only those applications required to perform current job requirements.

23. *Must* Is there a written procedure to remove network access for employees who are terminated or on leave longer than vacation? (Select all that apply)

NA is applicable only if there are no internet enabled network systems.

Actual

- Access immediately removed for terminated employees
- Employees on long term disability or maternity leave have access suspended
- No written procedure is available
- NA



[Procedure to remove network access for terminated or on leave employees.jpg](#)

Comments: No comments were provided

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

NA is applicable only if there are no internet enabled network systems.

Actual

- Passwords are required
- No passwords are required
- Passwords are required to be changed every 60-90 days
- Passwords must be complex
- NA

Comments: Passwords are not required to be complex, it is consist of 6-8 digital number, but get changed every month.

-
25. *Must* Are employees/business partners/contractors/consultants permitted to access the company systems remotely?

NA is applicable only if there are no internet enabled network systems.

Actual

- Yes
- No

Comments: The facility does not permit to access the company system remotely.

-
27. *Must* Do all security policies and procedures apply to any personal devices that connect to the network?

NA is applicable only if there are no internet enabled network systems.

Actual

- Facility does not permit personal devices to connect to the network
- Yes - All security policies apply to personal devices
- No - Facility's security policies and procedures do not apply to personal devices
- NA

Comments: No comments were provided

-
28. *Material* Does IT security limit and monitor the downloading of software and access to non-internal websites?

NA is applicable only if there are no internet enabled network systems.

Actual

- No it does not monitor or limit access
- Yes - IT security monitors and limits access
- NA

Comments: The facility does not limit and monitor the downloading of software and access to non-internal websites.

29. *Material* Are network systems backed up?

NA is applicable only if there are no internet enabled network systems.

Actual

- No data back ups are performed
- Yes - Data is backed up daily
- Yes - Data is backed up weekly
- Yes - Data is backed up monthly
- NA

Comments: The facility does not performed data back ups.

31. *Must* Is IT related equipment slated for disposal returned to the IT department for elimination of any sensitive business details and documents?

Actual

- Yes
- No

Comments: No comments were provided

Conveyances and Instruments of International Traffic

94%

Question

32. Does the facility load trailers/containers or Instruments of International Traffic?

Actual

- Yes
- No

Comments: No comments were provided

33. *Critical* While in the facility's control, are containers stored in a secured manner whether on-site or off site?

Actual

- Yes
- No

Comments: No comments were provided

34. *Critical* Is there a written procedure in place to inspect the security integrity of a container or trailer prior to loading? (Select all that apply)

Actual

- Written procedure is in place

- No written procedure in place
- Procedure includes a process to refuse to load damaged or dirty containers



[Procedure to inspect container or trailer.jpg](#)

Comments: No comments were provided

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

Actual

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



[Inspection of trailer.jpg](#)

Comments: No comments were provided

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

Actual

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

Comments: The facility does not capture video during loading process.

37. *Critical* Does the shipping area use equipment to conduct a 7-point container inspection? (Select all that apply)

Actual

- Mirrors for undercarriage
- No tools available
- Laser distance measuring tool, pre-measured string or tape measure
- Tap test tool (such as a hammer)
- A broom or some type of blower air hose etc. is used to sweep or clean the inside of the container

Comments: No comments were provided

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

Actual

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

Comments: Auditor is unable to verify if inside of trailer/container is visible from tail to nose on CCTV, and unable to verify the inspection are conducted in a secured area, as the facility does not capture video.

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

Actual

- Yes
- No

Comments: No comments were provided

-
40. *Material* Is there a procedure where management or supervision conducts follow up inspections?

Actual

- Yes
- No

Comments: No comments were provided

-
41. *Material* Are container/trailer inspections supervised?

Actual

- Some inspections are supervised
- Supervisor signs off on check list for supervised inspections
- Countback audits and/or shipment validation is completed
- Unannounced follow up inspections are conducted and documented
- Some form of "contraband" is hidden in or on containers/trailers to access effectiveness of inspections
- No inspections are documented

Comments: The facility does not perform unannounced follow up inspections, or countback audits and/or shipment validation, and does not perform some form of "contraband" is hidden in or on

containers/trailers to access effectiveness of inspections.

-
42. Does the facility directly contract transportation service providers for any of your customers or business partners? This includes the movement to a consolidation location or between multiple production or storage facilities prior to export.

Actual

- Yes
 No

Comments: No comments were provided

-
43. *Material* Does the facility have a written procedure to track, trace and require confirmation of arrival at destination (container yard or freight forwarder's location) for items that you ship?

Actual

- Yes
 No
 NA

Comments: No comments were provided

-
44. *Material* What container or trailer tracking technologies does the facility require to be used by the contracted transportation company? (Select all that apply)

Actual

- Global positioning system carrier controlled
 Global positioning system shipper controlled
 Required cell phone check by carrier dispatch with status update
 Required cell phone confirmation by driver
 No document or report was available to review
 Other please explain

Comments: No comments were provided

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

NA is only an available response if there is only one direct route between the factory and the final destination. (i.e. container yard, consolidation location, port of export)

Actual

- Yes
 No
 NA

Comments: No comments were provided

-
46. *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.)

Actual

- No
 Yes - Drivers are given written instruction to stop only for permitted instances

Comments: The facility does not provide written instructions to transportation service drivers detailing that only required stops are permitted.

47. *Critical* Does the facility document driver and visitor information including photo ID, tractor ID number and conveyance ID number for arriving and departing material movements? (Select all that apply)

Actual

- Visitor/ driver log is maintained
 Tractor number listed
 Container Number listed
 Photo ID required of drivers and visitors
 No verifiable documentation was available

Comments: No comments were provided

48. *Critical* Is a written and verifiable security procedure in place with contracted less than container load (LCL) service providers?

NA is only an available response if no (LCL) movements are done from this facility.

Actual

- Yes
 No
 NA

Comments: The facility does not use LCL for shipment.

50. Does the facility make air shipments?

Actual

- Yes
 No

Comments: The facility does not make air shipment.

52. Does the facility make any shipments in open top, open sided, ventilated (livestock), soft sided containers?

Actual

- Yes

No

Comments: The facility does not make shipment in open top, open sided, ventilated, soft sided containers.

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

NA is only an available response if no containers are loaded at this location.

Actual

Yes
 No
 NA

Comments: No comments were provided

55. *Critical* Does the facility insure that all loaded and stored containers or trailers are closed and secured with a security seal?

NA is only an available response if no containers are loaded at this location.

Actual

Yes - All loaded and stored containers are closed and sealed
 No - Loaded containers are observed on yard without seals
 NA

Comments: No comments were provided

56. *Critical* Does the facility have written and verifiable procedures to ensure that security seals are controlled and are properly applied to a container or trailer by a designated facility employee(s)? (Select all that apply)

NA is only an available response if no containers are loaded at this location.

Actual

Written policy includes keeping seals secured
 Policy designates a facility employee whom is responsible for seal control
 Policy includes that someone, other than the party whom applied the seal, performs the required "TUG TWIST TURN" testing to insure seal is correctly applied. This step is intended as a validation of proper application.
 No written policy is available
 NA

Comments: The seal policy does not include that some other than th party whom applied the seal, performs the required "TUG TWIST TURN" testing to insure seal is correctly applied.

Question

57. *Material* Does the facility run water over or otherwise remove dirt and other debris from the outside of the shipping containers prior to loading and before departure from the facility? (Select all that apply)

Actual

- Outside of container is inspected for dirt and evidence of pests such as egg masses
- Outside of container is run through a water bath/shower to remove dirt and loose debris; identify leaks prior to loading. Other methods of removing dirt or seeds are acceptable please document these methods.
- No washing or inspection for dirt/debris removal is conducted

Comments: No comments were provided

58. *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? (Select all that apply)

Actual

- Bait stations are visible
- Extermination contract is available for review
- Shipping and receiving area appears clean
- No evidence of process or procedure available
- Area outside and around the shipment and container storage are noted to have trash and evidence of bugs, rodents (i.e. droppings, food sources)

Comments: Extermination contract is not available for review.

59. *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)

NA is an available answer only if no pallets or wood packaging material are shipped from this location.

Actual

- 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 facility does not ship wood packaging material.

60. *Must* Are wood and wood products utilized in the manufacturing process identified by source and species?

NA is only an available and appropriate response if no wood packaging material is utilized in this facility.

Actual

- Yes
- No
- NA

Comments: No comments were provided

61. *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)

NA is only an available and appropriate answer if no wood pallets are utilized in the international shipment process.

Actual

- 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 facility does not use wood or wood products in the international shipment process.

Seal Security

90%

Question

62. *Critical* Are security seals stored in a secured location?

NA only applicable if the seals used are supplied by the Ocean service provider or other transportation service provider and as a used basis.

Actual

- Yes
- No
- NA

Comments: Seals are provided by the transportation service provider

63. *Must* 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?

NA is only an applicable response if the seals are not provided by the factory.

Actual

- Yes
- No
- NA

Comments: Seals are provided by the transportation service provider

-
64. *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)

NA is only an available and appropriate response if no containers or trailers are loaded at this facility.

Actual

- 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

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

NA is only an available and appropriate response if no containers or trailers are loaded at this facility.

Actual

- 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
- NA

Comments: The facility's seal application process does not include secondary testing and validation is checked by supervisor or security guard at time of exit from the facility, and no testing procedure recorded on CCTV footage.

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

Actual

- Yes
 No

Comments: No comments were provided

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

Actual

- Yes
 No



[Unauthorized
access.jpg](#)

Comments: No comments were provided

68. *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? Access should be limited to only authorized employees.

Actual

- Yes
 No

Comments: No comments were provided

69. *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?

Actual

- Yes
 No

Comments: No comments were provided

70. *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?

NA is only an available option if no containers are loaded at this location.

Actual

- Yes
 No
 NA

Comments: *No comments were provided*

71. *Critical* Is an international shipment marked, counted, weighed, and properly reported on the commercial invoice and bill of lading?

NA is only an available option if no containers are loaded at this location.

Actual

- Yes
 No
 NA

Comments: *No comments were provided*

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

Actual

- No written procedure is available
 Yes - Written procedure is available

Comments: *No comments were provided*

73. *Material* Are pre-printed paper documents/forms used to prepare commercial documents and properly secured? (Select all that apply)

Actual

- Documents are secured
 Pre-printed paper documents are utilized
 Pre-printed documents are not utilized or secured

Comments: *No comments were provided*

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

Actual

- Yes - Shared network printers are password protected
 No passwords are utilized for network printers
 No shared network printers are utilized at this facility

Comments: *The facility does not use shared network printers to prepare the export documents*

75. *Critical* Are commercial document packets sent with the shipment at departure?

Actual

- Document sent in either hard copy or electronically
 No documentation is submitted

Comments: No comments were provided

76. *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? (Select all that apply)

Actual

- Nothing in place
- Procedure is written
- Local law enforcement notified
- Customer notified
- Origin Customs is notified

Comments: No comments were provided

77. *Critical* Are access control procedures or devices used to ensure that only authorized employees have access to the facility?

Actual

- Yes
- No

Comments: No comments were provided

78. *Critical* Is there a procedure in place to notify Business Partners of security issues such as attempted theft, fraud or internal conspiracies? (Select all that apply)

Actual

- Nothing in place
- Yes Procedure is written
- Local Law enforcement is notified
- Business partners notified
- Origin Customs notified

Comments: The facility's procedure does not require to notify business partners and origin customs of security issues such as attempted theft, fraud or internal conspiracies.

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

Actual

- Yes freight is validated prior to loading via manual count
- Freight being loaded is scanned and reviewed against PO/ delivery order prior to departure
- No not validated

Comments: No comments were provided

80. *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? (Select all that apply)

Actual

- Nothing in place
- Procedure is written
- Checklist is included in Termination document

Comments: No comments were provided

81. Do you have dedicated security staff/guards on site?

Actual

- Yes
- No

Comments: No comments were provided

82. *Must* Are written job descriptions in place outlining the roles and responsibilities of security staff or staff performing dual roles that include security functions. (Select all that apply)

Actual

- Job descriptions are in place
- Job descriptions available for review at time of audit
- No job descriptions exist or were unavailable for review at the time of the audit
- Management review occurs as required
- Electronic or written logs are kept and reviewed regarding duties of security guards such as building/facility tours

Comments: Job description is not provided to security guard in place.

83. *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?

Actual

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

Comments: No comments were provided

84. *Must* Does management verify compliance with Security company work instructions and policies? (Select all that apply)

Actual

- No
- Reviews are conducted
- Reviews are documented

Comments: The facility does not verify compliance with security company work instructions and policies.

Physical Security

72%

Question

85. *Critical* Is there a designated employee and visitor vehicle parking area separate from the shipping and receiving area? (Select all that apply)

Actual

- Shipping & Receiving fenced
- No
- No personally owned vehicles are permitted in Shipping & Receiving area
- Access controlled

Comments: No comments were provided

-
86. *Material* Does the shipping area have a fence, a wall, or other controls separating domestic, hazardous, high value, and international goods and materials?

Actual

- Yes
- No

Comments: No comments were provided

-
87. *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)

Actual

- Nothing in place
- Procedure is written
- Regular inspections are documented
- Preventative maintenance logs kept

Comments: No comments were provided

-
88. *Critical* Are facility gates through which vehicles and/or employees enter and exit guarded or monitored?

NA is only an available and appropriate response for locations such as bulk packaging and shipment facilities such as coal yards, fresh fruit and vegetable locations.

Actual

- Yes gates are secured and monitored
- No gated or other controls in place to limit access
- gates are secured but not monitored
- NA

Comments: *No comments were provided*

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

NA is only an available and appropriate response for locations such as bulk packaging and shipment facilities such as coal yards, fresh fruit and vegetable locations.

Actual

- Yes
- No
- NA

Comments: *No comments were provided*

90. *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?

NA is only an available and appropriate response if the location is a bulk packaging facility or a fresh fruit and vegetable packaging facility operated only during daylight hours.

Actual

- Nothing in place
- Interior lighting only
- Exterior lighting only
- Yes - Sufficient exterior and interior lighting
- NA



[Insufficient lighting.jpg](#)

Comments: The facility does not have sufficient lighting at the fence lines in south and west side.

91. Does the facility incorporate security technology as part of its systems and controls?

Actual

- Other
- CCTV
- Access Control
- Security Alarm

Comments: *No comments were provided*

92. *Must* Do you have written procedures governing the use of the security technology? (Select all that apply)

Actual

- Policy and procedures are written
- Written documentation includes testing and corrective actions
- No written procedures in place

Comments: No comments were provided

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

Actual

- System was installed by a specialized licensed/certified contractor
- System was installed by factory personnel or an electrical contractor
- Systems were installed in facility by building owners (this is leased space)

Comments: No comments were provided

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

Actual

- Yes, contracts are annually reviewed
- Yes, contracts are only reviewed when problems are uncovered
- No contract is in place, or readily available for review

Comments: No contract is in place for the facility's network system.

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

NA is only applicable if the facility does not have CCTV or alarm systems.

Actual

- Yes
- No
- NA

Comments: CCTV room is not secured and authorized access limited to only those whose jobs require access.

96. *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?

NA is only applicable if the facility does not have CCTV or alarm systems.

Actual

- Yes

- No
- NA

Comments: *No comments were provided*

97. *Critical* Is a CCTV system used to monitor the facility and premises' including entrances, exits, cargo storage, shipping, and other loading/unloading areas?

Actual

- No CCTV or camera system
- Other surveillance system (please explain)
- Yes

Comments: *No comments were provided*

98. *Material* Does your CCTV system have a failure alarm that indicates when the system is off line or no recording is underway? (Select all that apply)

Actual

- System is connected to a back up power system
- CCTV system has a failure alarm
- No failure alarm available

Comments: *No comments were provided*

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

Actual

- Yes
- No



[CCTV recording.jpg](#)

Comments: Auditor is unable to verify if facility's CCTV system run 24 hours per day 7 days per week, as the the facility only provide CCTV recording of audit day.

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

Actual

- Yes
- No
- PO issued for upgraded system

Comments: *No comments were provided*

101. *Must* Does the facility's management team conduct random documented reviews of CCTV footage periodically to ensure security processes and procedures are being followed? If found to be lacking corrective actions are taken. (Select all that apply)

Actual

- Reviews are documented
- Yes - Periodic reviews are conducted
- Corrective actions are taken for gaps identified
- No reviews are conducted

Comments: No comments were provided

102. *Critical* How many days are CCTV recordings kept?

Actual

- 90 or more days
- Less than 30 days
- Recordings not retained
- 45 - 89 days
- 30 - 44 days



[CCTV recording.jpg](#)

Comments: The facility only keeps the CCTV recording of audit day.

103. *Must* Are employees required to display their ID badge at all times while at the facility?

Actual

- Yes
- No
- IDs carried but not displayed

Comments: No comments were provided

104. *Critical* Is a written procedure in place to require an unknown visitor to present photo identification upon arrival? Is their information recorded into a visitor log? (Select all that apply)

Actual

- Written procedure is available
- Photo ID is required
- Visitor Log is utilized
- No written process is in place
- Photo IDs are not checked

Comments: Visitor's ID are not required to present and checked upon arrival.

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

Actual

- Yes - Written procedure in place and all bags were inspected
- Yes - Written procedure in place but auditors bag was not inspected or other visitors entering were observed not having bags inspected

No written process or procedure in place

Comments: Written procedure is in place but auditor's bag does not inspected.

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

Actual

Yes
 No

Comments: No comments were provided

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

Actual

Yes
 No

Comments: No comments were provided

108. *Material* Is a written procedure in place to inspect a suspicious package and mail for dangerous materials and/or contraband prior to distribution? A written procedure is in place to periodically inspect arriving packages for contraband.

NA is an available and appropriate response only if all packages and mail are delivered to another location prior to distribution to the factory.

Actual

Yes
 No
 NA

Comments: No comments were provided

Personnel Security

83%

Question

109. *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)

NA is an available and appropriate response only if background checks are not permitted by local law.

Actual

Nothing in place
 Policy is written

- Education check
- Reference check
- Previous employment check
- NA

Comments: The facility does not conduct reference and previous employment check.

110. *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)

Actual

- Written application required
- Government issued ID required
- No requirements available

Comments: No comments were provided

111. *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? (Select all that apply)

NA is an available and appropriate response only if background checks are not permitted by local law.

Actual

- Written policy is available
- Criminal background checks
- Credit check completed
- No background checks or policy available for review
- NA

Comments: No comments were provided

Security Training & Threat Awareness

59%

Question

112. *Must* Is a security threat awareness training program established and maintained? Is training provided to all new employees and an annual refresher course for current employees?

Actual

- Training provided annually
- Training provided for new hires
- There is no Threat Awareness training in place

Comments: No comments were provided

113. *Must* Are training classes or meetings conducted to explain the critical reasons why documentation and security is critical in certain departments etc.? (Select all that apply)

Actual

- No training is conducted or documentation of training is unavailable
- Classes are conducted on security related issues
- Training logs are kept to insure required personnel attend the training
- Management personnel randomly reviews documentation

Comments: No comments were provided

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

Actual

- No evaluations are conducted
- Retraining is required if a successful score is not achieved
- Evaluations of effectiveness of the training classes are conducted

Comments: No comments were provided

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

NA is only an available and appropriate response if no container or trailers are loaded at this facility.

Actual

- Training is conducted
- Training logs are kept and reviewed
- Refresher training conducted annually
- Training available in local language
- No training conducted or documentation available for review
- NA

Comments: 3 out of 5 employees who conduct security and agricultural inspections are not aware of agricultural inspections.

116. *Must* Does threat awareness training identify unique risks for sensitive or restricted areas of the facility such as final packing, shipping and receiving?

Actual

- Yes
- No

Comments: The threat awareness training does not identify unique risks for sensitive areas such as final packing, shipping and receiving.

117. *Must* Does threat awareness training inform employees of procedures to report suspicious

activity or a security incident?

Actual

- Yes
- No

Comments: No comments were provided

118. *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)

Actual

- 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: The threat awareness training does not include container sealing practices and how to control seals.

119. *Must* Does the training program include criteria critical to security programs such as Threat Awareness, Contraband, Human Smuggling and Terrorism? (Select all that apply)

Actual

- Threat Awareness training is included
- Training includes how to identify and manage contraband found
- Training includes how to identify evidence of human smuggling
- No specific training is conducted

Comments: The training does not includes how to identify and manage contraband found, and does not includes how to identify evidence of human smuggling.

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

Actual

- Yes - Incentive/recognition program is in place
- No incentive program is available at the facility

Comments: No comments were provided

121. *Must* Does the factory have a specific training platform for identifying pest contamination? (Select all that apply)

Actual

- No
- Training platform is available
- Documentation of trained personnel is kept and available

Comments: No comments were provided

122. *Must* Is there a documented training platform outlining the risks of Cyber security? (Select all that apply)

NA is only an available and appropriate response if the facility has no network connected computer systems or equipment.

Actual

- No
- Documentation of trained personnel is kept
- Training platform is available
- NA

Comments: No comments were provided

Misc

NA

Question

123. Describe the front of the factory building including any signage. Please attach a picture.

Comments: The facility is located in an industrial zone with other unit, while it is fenced with iron / metal barrier wall and reinforced concrete wall (around 2m), there are only one gate, the entrance is closed with a metal barrier door and a security post is placed near the entry gate.



[Facility front.jpg](#)

124. Describe the guard station and facility access gates. Please attach a picture.

Comments: The guard station is set near the entry gate. 6 security guards which work 24 hours per day, 7 days per week for monitor the activity. The access gate is monitored by CCTV system, infrared alarm and security guard, there is lighting installed on the gate.



125. Describe the buildings and structures for this location. Please attach a picture.

Comments: The facility uses 2 building detail as following

_Building 1(4-storey):

1F workshop

2F workshop,packing,finished product warehouse

3F office

4F packing,finished product warehouse

_Building 2(1-storey):

1F raw material warehouse

[Facility building
structure.docx](#)

126. Describe the shipping and receiving areas. Please attach a picture.

Comments: The shipping and receiving area is designated near production building #1, which is fenced with iron / metal barrier wall, CCTV system has installed and security guard monitored the activity, lighting is installed.



[Shipping & receiving
area.jpg](#)

127. Describe how the perimeter of the facility is protected from unauthorized access? Please attach pictures

Comments: The perimeter is fenced with iron/ metal barrier wall and reinforced concrete wall (around 2m), there are CCTV camera, infrared alarm and lighting along with the perimeter is insufficient in south and west side.

[Facility
perimeter.docx](#)

128. Describe the final packaging area. Please attach a picture.

Comments: The final packaging area is located at 2F & 4F of building#1, it is limit access with authorized person only, unauthorized person could enter the area will be challenged and required to get registration, CCTV is installed to monitor the activity and be notified.

[Final packaging.docx](#)

129. Describe any container storage and vehicle parking areas and please attach picture.

Comments: The container storage area is located in shipping area near building#1, CCTV system and lighting is installed, the vehicle parking is designated for employees and visitor which is 50m away from the shipping area, the activity is monitored by the CCTV system and security guard.

[Parking area.docx](#)

130. Did the Factory Representative and the Auditor sign the Opening Meeting Letter? Please attach the signed copy.

Actual

- Yes
 No



[Signed opening meeting letter.jpg](#)

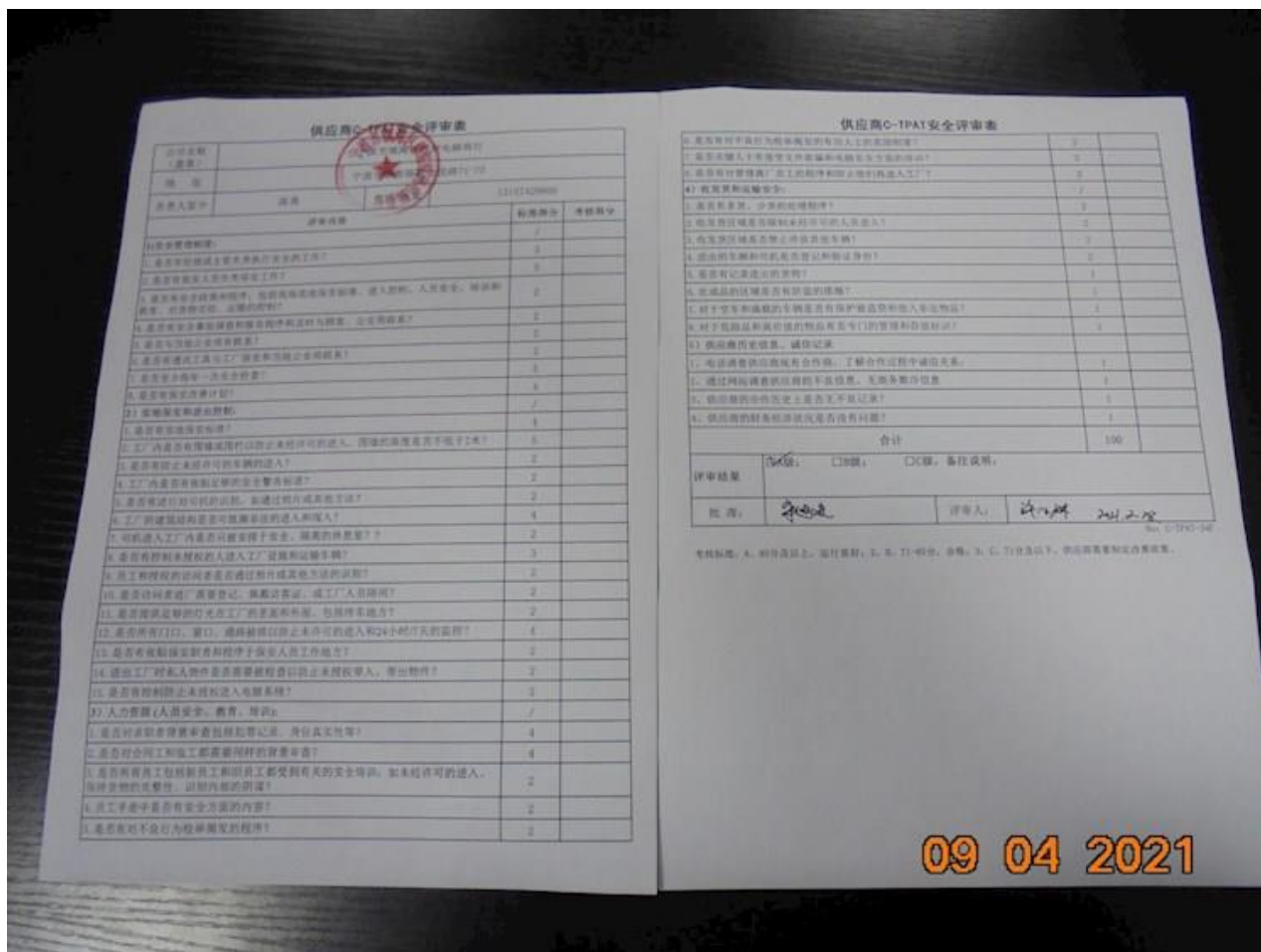
Comments: No comments were provided

ATTACHED DOCUMENTATION - PHOTOS

Security Vision and Responsibility - Question # 1



Business Partner Requirements - Question # 10



Cyber and Information Technology Security - Question # 15

宁波市镇海承迪文具有限公司	受控状态	受控
反恶程序文件	文件编号	C-TPAE-02
	版次	A/1
	页次	第 166 页 共 171 页

第七十七章 网络和信息技术安全

1. 目的

为规范恶意程序（病毒、间谍程序、木马病毒等）和外网入侵，防止计算机上的机密文件的泄密，从而防止其它严重灾难的发生，特制定本控制程序。

2. 范围

本公司范围所有网络及所有电脑。

3. 职责

3.1 所有电脑操作必须执行本程序

3.2 电脑管理员负责监督执行本程序。

4. 工作程序：

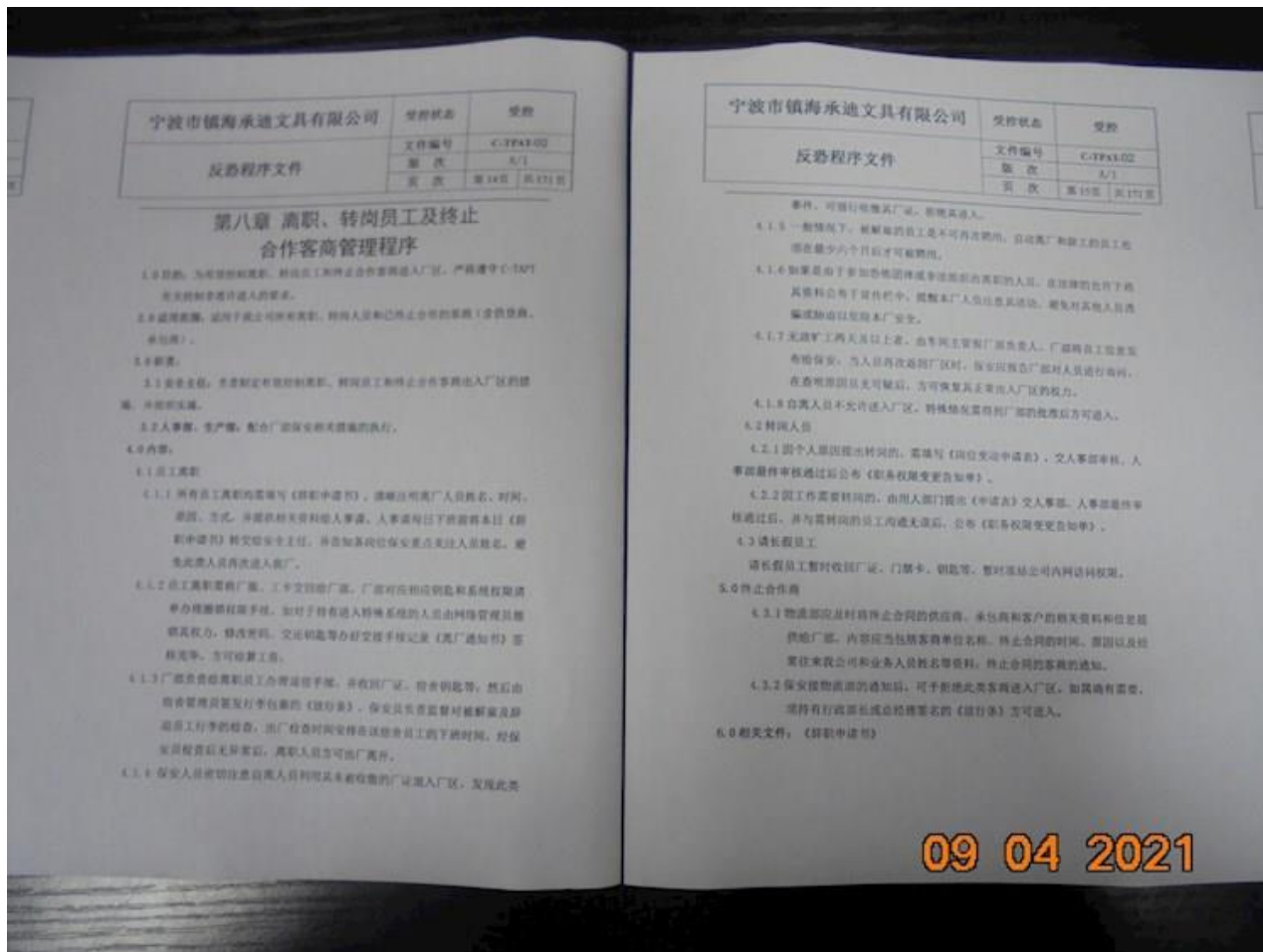
- 4.1 部署/设置防火墙，以识别、保护、探测、响应和恢复其网络。
- 4.2 IT 人员应当执行相关漏洞测试方案来识别开放端口和 IP 地址，以确保网络安全。
 - 4.2.1 常见的安全测试内容：权限控制、SQL 注入、SQL 安全测试、DOS（网络脚本攻击）、DDoS（拒绝服务攻击）、URL 跳转漏洞、其他安全方面的考量
- 4.3 IT 管理人員应当向工厂高级管理层及内部业务合作伙伴、外部业务合作伙伴、客户/供应商和政府机构报告所有安全威胁和未经授权访问网络系统的企图。如果网络安全威胁可以直接报告工业和信息化部网络安全威胁信息共享平台（https://www.cnitd.com.cn），以及电子邮件通知安全内外合作伙伴。
- 4.4 工厂应当建立一个自动化系统来监测和防止未经授权访问和篡改系统和电子数据的警报。
- 4.5 建立控制远程访问的时间表，允许员工/业务合作伙伴/承包商/顾问远程访问公司系统。
- 4.6 不允许在不受安全策略监控的情况下部署和使用个人设备连接到网络系统，所有安全策略均适用于个人设备。
- 4.7 IT 安全管理程序应限制和监控软件的下载和对非内部网络的访问。
- 4.8 应当建立专用网络（VPN）或类似软件来控制限制任何员工/承包商/业务合作伙伴/顾问对敏感信息的访问。
- 4.9 建立一个网络信息每天自动备份的系统，并以加密方式存储，来保证公司网络数据的安全性。
- 4.10 管理后定期审查拥有网络访问权限的员工，以限制他们只能访问那些需要执行

宁波市镇海承迪文具有限公司	受控状态	受控
反恶程序文件	文件编号	C-TPAE-02
	版次	A/1
	页次	第 167 页 共 171 页

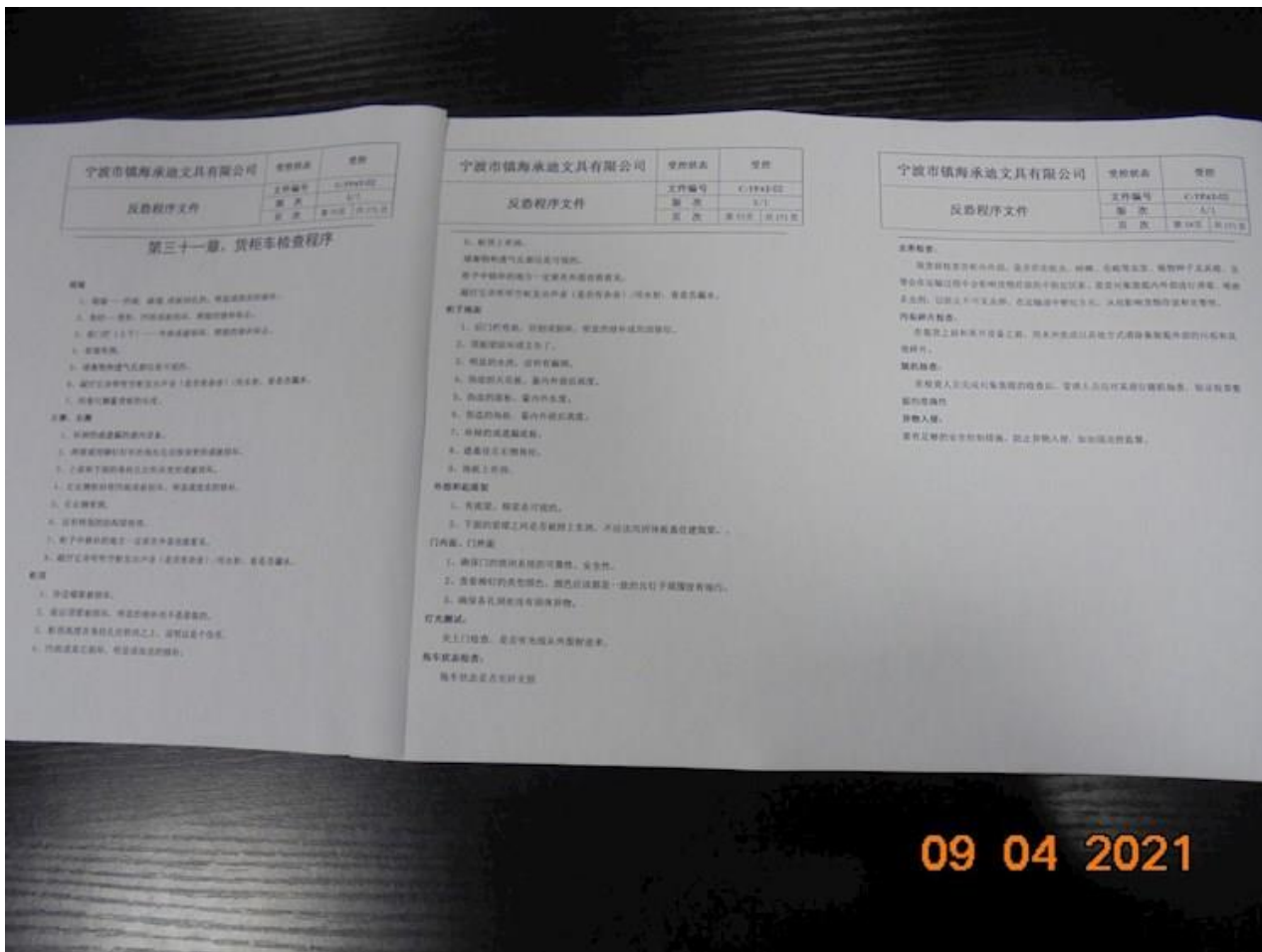
当前工作要求的应用程序。

- 4.11 公司共享打印机安装密码保护，在未授权状态下禁用共享打印权限。
- 4.12 定期对敏感资料的储存媒体（例如：光碟、U 盘、存储棒等）进行盘点并记录，定期按照美国国家标准与技术协会（NIST）的媒体卫生处理指南或其他适当的行业指南进行消毒或处理，及时保存并清理储存的公司数据，防止信息泄露的风险。
- 4.13 建立数据恢复计划，解决数据崩溃或无法预见的 IT 事件导致数据和设备损坏情况的发生，具体防止策略：1. 将关键文件保存在基于云的硬盘上；2. 拥有本地计算机备份解决方案；3. 拥有异地计算机备份解决方案；4. Mac 和 PC 上都应具有病毒防护功能；5. 确保拥有现代化的路由器，并且所有固件都是最新的；6. 确保办公室中的每台计算机都处于活动状态。
- 4.14 制定措施防止仿冒或未经授权的技术产品的使用，各部门对电脑使用软件情况进行自查通报，发现擅自安装盗版软件及与工作无关的软件，将立即予以删除和卸载，不定期进行检查，员工私自安装并使用盗版软件及与工作无关的软件，因其侵权行为所产生的法律后果及经济责任均由其个人承担，给工厂造成重大经济损失的，将向法院及员工追究法律责任。
- 4.15 保留无效密码访问和文件获取的安全日志。
- 4.16 网络安全政策定期审查更新。
- 4.17 系统定期对无效密码访问和未经授权文件访问的记录进行评估、维护和调查，并定期进行测试及记录 IT 基础设施的安全情况
- 4.18 当紧急情况需要修改或对软件进行升级时，应报上级主管部门批准，升级或修改完成后应提供详细的操作过程报上级主管部门备案。
- 4.19 信息管理员应及时确认 IT 的非正常使用，包括非法窃取、破坏、篡改业务数据，使信息系统受到保护，以确保系统可靠正确的运行，最终实现业务的连续性。

09 04 2021



Conveyances and Instruments of International Traffic - Question # 34



Conveyances and Instruments of International Traffic - Question # 35

宁波市镇海承迪文具有限公司
集装箱七点检查记录

日期: 2021.11.07	工厂代码: 904	车牌号: 浙B58204
司机姓名: 姜志平	集装箱号: APM17341228	检查开始时间: 9:35
封条号: P878565	出厂日期: 11.7	检查人: 姜志平

集装箱七点检查位置及内容

- 对集装箱体进行外观检查, 检查密封胶条是否完好, 有无异常损坏并记录
- 对集装箱体进行外观检查, 检查表面油漆是否有脱落, 有无生锈等异常现象
- 对集装箱体进行外观检查, 检查箱体门门是否完好, 有无异常损坏并记录
- 对集装箱体进行外观检查, 检查箱体支脚/支脚/支脚, 有无异常损坏并记录
- 对集装箱体进行外观检查, 检查箱体支脚/支脚/支脚, 有无异常损坏并记录
- 检查集装箱体是否完好, 有无异常
- 检查集装箱体是否完好, 有无异常
- 检查集装箱体是否完好, 有无异常
- 检查集装箱体是否有完整清晰的符合规定的集装箱号
- 检查集装箱体是否有正确的车轴号
- 检查集装箱体是否有其他杂物或连接点
- 检查集装箱体是否清洁, 干净, 是否有油污等, 无油污者应予以清洁 (如有, 必须安排人员清扫, 清洗, 打蜡等)
- 检查集装箱体是否符合集装箱的长宽高尺寸
- 检查封条的安装, 确认封条号, 撕毁封条, 确认良好无脱落, 用力将封条上下部分, 确认良好无脱落, 无脱落

车门 车门 支脚 支脚 支脚 支脚 支脚 支脚
 支脚 支脚 支脚 支脚 支脚 支脚

封条检查、使用记录

封条号: P878565	临时保管人: 姜	使用时间: 11.07	安装人: 姜
确认封条号, 是否字迹清晰	观察封条安装是否正确	将封条上下部分, 确认良好无脱落	检查封条, 确认良好无脱落
<input checked="" type="checkbox"/> 是 <input type="checkbox"/> 否	<input checked="" type="checkbox"/> 是 <input type="checkbox"/> 否	<input checked="" type="checkbox"/> 是 <input type="checkbox"/> 否	<input checked="" type="checkbox"/> 是 <input type="checkbox"/> 否
异常情况描述及处理	报告当局情况描述及处理		检查人: 姜

检查结果: 符合 ISO/PAL/TTI 标准 正确安装在集装箱上
 装箱开始时间: 9:28 装箱结束时间: 11:01
 集装箱型号/规格标准代码: 4349
 数量: 388 毛重: 4372 立方数: 65.42

09 04 2021

Procedural Security - Question # 67

宁波市镇海承造文具有限公司	受控状态	受控
反卷程序文件	文件编号	C-TPA1-02
	版 次	A/1
	页 数	第 43 页 / 共 171 页

第二十六章 装卸区域监管程序

1. 工厂内不允许非生产部门人员的进入，外来考察、教育、培训等人员的进入需经有主管以上人员陪同下方可进入。
2. 禁止闲杂的成品堆放处，成品堆放处禁止非工作人员参观，任何未经授权人员不得随意进入（特准外来人员至少两个月前需经主管审批，并备案），如有某人或某组人员进行搜查的必须事先通知主管级以上人员陪同。
3. 成品、货物的堆放有指定的区域，装卸区域内不准未经允许的人员及车辆进入，装卸人员应接受安全培训，并接受安全知识培训，装卸车辆时的高空车辆停好后方可进入司机休息的区域等。
4. 货物装卸过程需有安全负责人监督，禁止未经授权人员、车辆的进入及异常事情的发生，当发生异常时不准任何人进入装卸区域时，安全负责人应即时加以阻止，并及时进行相应的记录保存。
5. 货物装卸好以后应由安全负责人将车门封好/上锁，禁止在运输过程中被拆开锁，不可以让司机接触车门锁匙，并通知以货物由安全负责人上厂封条起，将两天程完后有锁上和未发好的封条。
6. 进入厂区内所有货物装卸车辆不得与私人车、载重车辆在同一区域内停放，行驶载重货物车辆的区域不得有非授权许可的车辆进入，由安全负责人对该区域进行监控。
7. 在装卸区域装卸货物时，需由安全经理或制定安全人员进行监控，未经授权人员或车辆不得进入该区域内。

宁波市镇海承造文具有限公司	受控状态	受控
反卷程序文件	文件编号	C-TPA1-02
	版 次	A/1
	页 数	第 44 页 / 共 171 页

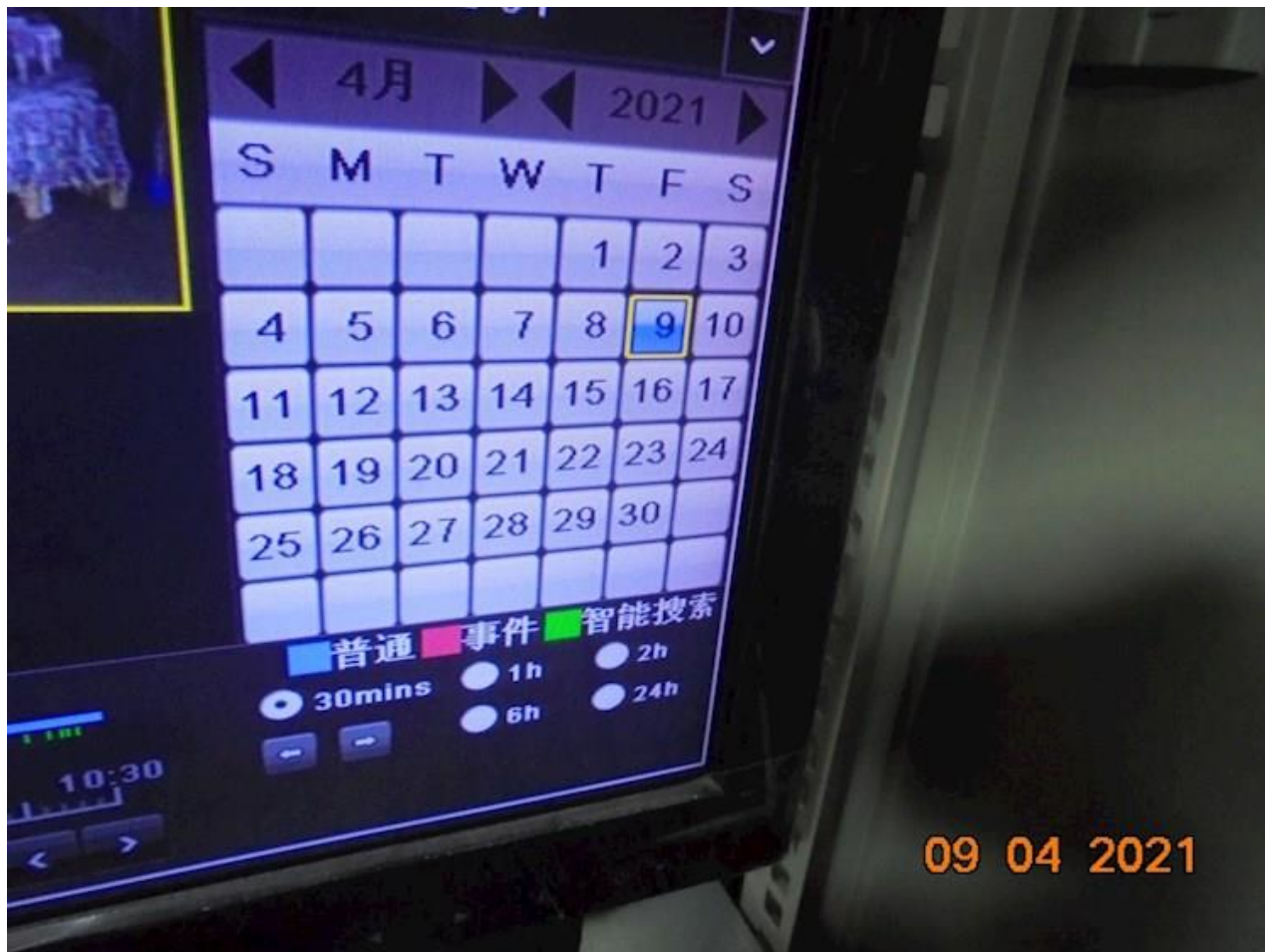
第二十七章 运输设备保安程序

1. 目的
保安运输设备的安全性及完整性的 C-TPA1 反卷程序
2. 范围
所有用于出外运输的货车或本厂用于运货的车辆
3. 职责
3.1 保安人员、负责车辆监管
3.2 仓管、保安员或出外人员、负责车辆安全检查
4. 工作程序
4.1 运输设备的检查
为确保货物的完整性，相关人员必须对车辆进行检查，首先需确保车辆的机构安全且状态良好，车辆的检查过程包括：车头、左部、右部、底部、内/外门（车门必须要有锁装置）和外锁匙，须确定这些部位的安全性及完整性的完好无损（未被改装），检查工作完成后，由检查人员在检查单上签名确认。
- 4.2 运输设备的押送及隔离
押送货物进行装卸货物时，必须按保安人员指定押送指定的地点或区域，未经授权人员不得非法靠近或操作，在押送过程中应锁具锁好车门，司机由保安人员带到指定地点休息等待。
- 4.3 封条管理
所有出外运输的货柜或集装箱必须有保安功能完好的封条，并符合 P60 150 177L2 的标准，这些封条由保安员进行统一管理，在装卸完成后，由保安员监督相关人员用其封好封条，并将其号码准确的记录在运输单上，需发现未经授权使用或造成

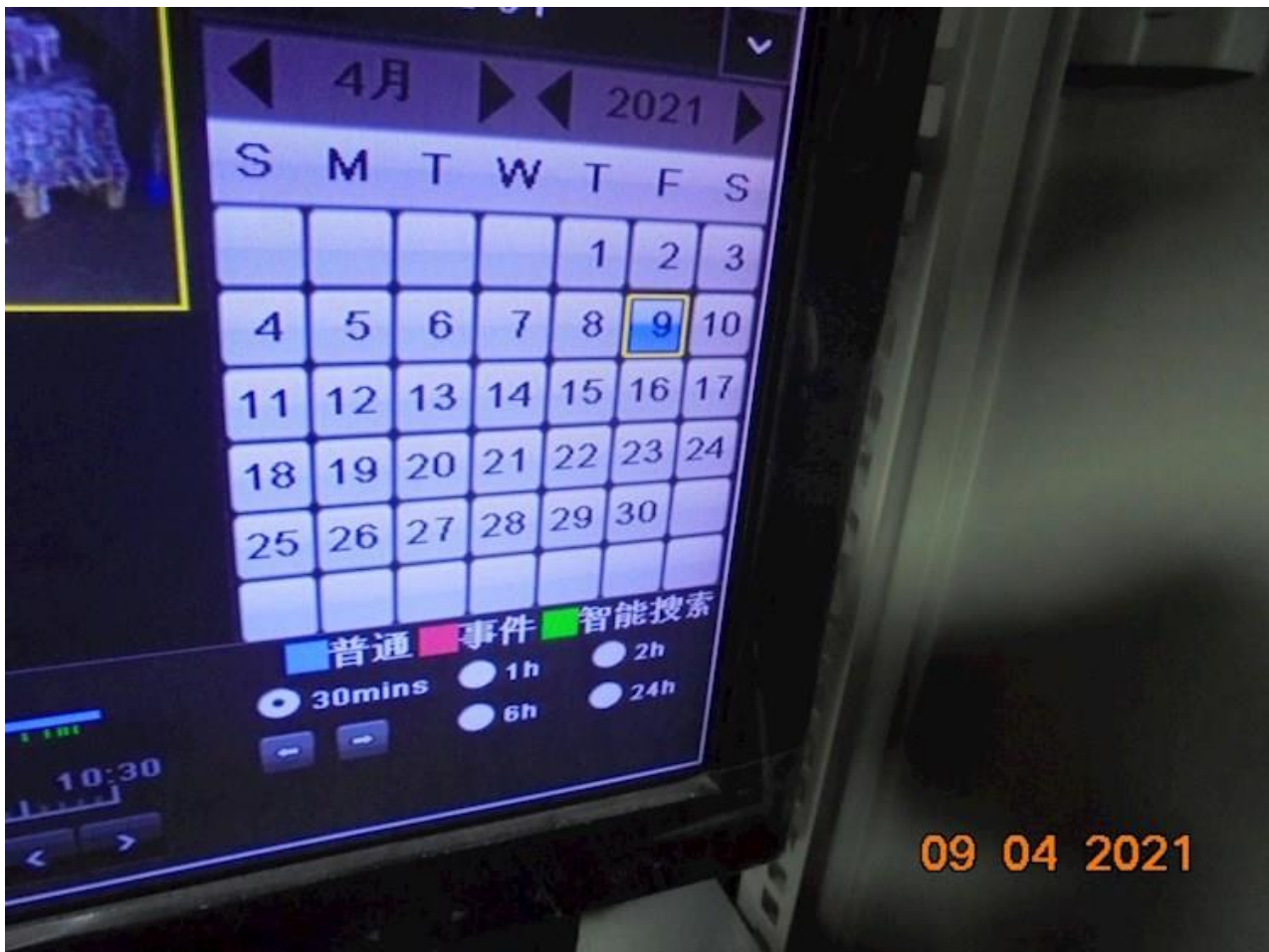
09 04 2021



Physical Security - Question # 99



Physical Security - Question # 102



Misc - Question # 123



Misc - Question # 124



Misc - Question # 126



Misc - Question # 130



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 results with other companies 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.

- Another retailer or company can contact www.scaninc.com or send an email to info@scaninc.com with questions.

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 provided transportation.
- Will explain the purpose of the audit and how the audit will be completed.
- Will have a closing meeting to discuss audit findings - the auditor cannot advise a pass or fail rating.

About this Audit

- A Pre-Assessment Checklist was provided when you paid for 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.
- The auditor will share audit findings during a closing meeting at the conclusion of the audit.

Factory Obligations

It is strictly prohibited to share any results or reports of SCAN audits with "NON SCAN" member 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.



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

Audit Company Name	Zurfin CPQ
Audit Date	09/04/2021
Auditor Name	Carissa
Auditor Signature	
Facility Representative Name	Carissa
Facility representative signature	

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

Email: scan@scaninc.com

10 04 2021