



XINXIANG ALPHA MANUFACTURING LTD.

West of Beihuan Road, Muye Industrial Park , Xinxiang City, Henan Province, China, Nil, Nil,
Xinxiang City, Henan Province, China 453000 +86-373-2515702

SCAN SECURITY AUDIT (ONSITE)

Report #	EA-2023-04-0146-CAPA-V4
Audit Submitted	Apr 11, 2023
Compliance Score	98%
Audit Type	EXTERNAL AUDIT



This Report Applies Solely for SCAN - Supplier Compliance Audit Network

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Location Information

XinXiang Alpha Manufacturing Ltd.

West of Beihuan Road, Muye Industrial Park , Xinxiang City, Henan Province, China, Nil, Nil, Xinxiang City, Henan Province, China 453000 +86-373-2515702

SCAN ID CN2479597ZXI
Point of Contact Name Ms. Zhenting Li
Point of Contact Email administration@chinaalpha.net; henryliu@chinaalpha.net
Target Month 04/07/2023

Contact Name	Phone	Email
	0373-2515702/13839087104	administration@chinaalpha.net

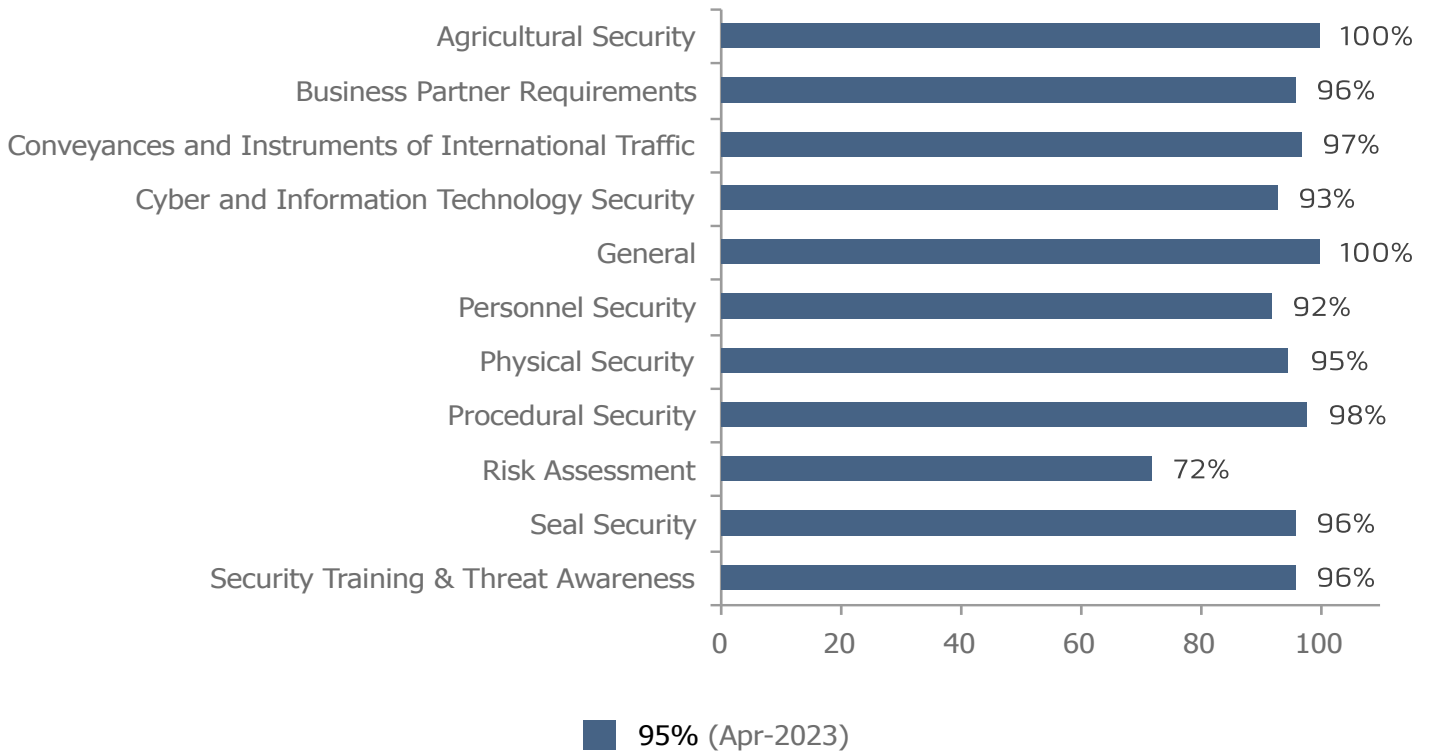
Location XinXiang Alpha Manufacturing Ltd.
Primary Location Yes
Critical Location No
Assigned Auditor Eurofins
Schedule Date Apr 07, 2023

Audit Summary

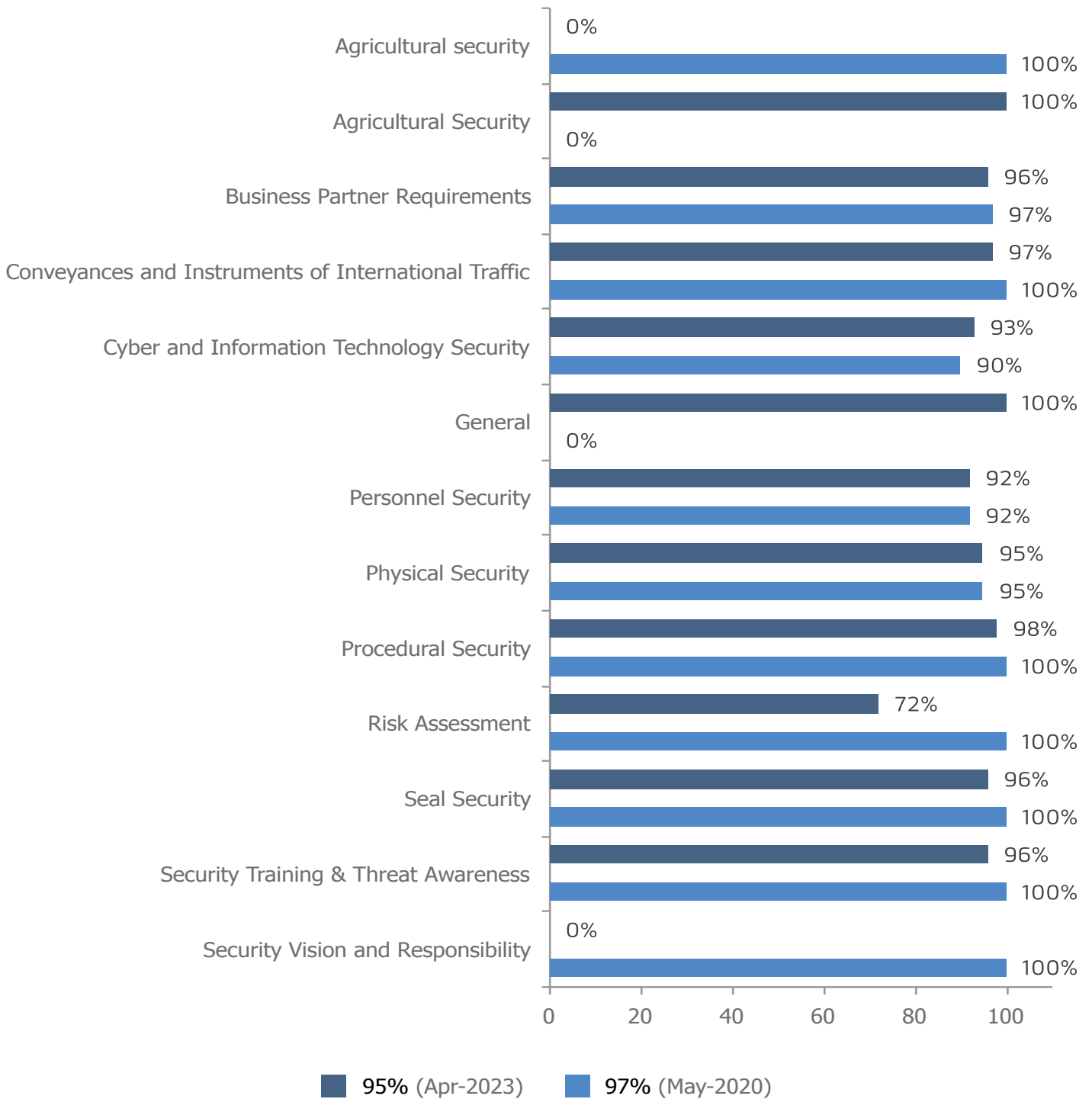
Pre-CAPA

Audit Submitted Apr 11, 2023		Compliance Score Pre-CAPA 95%	
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Compliance by Category




Compliance by Category - Last 2 Audits



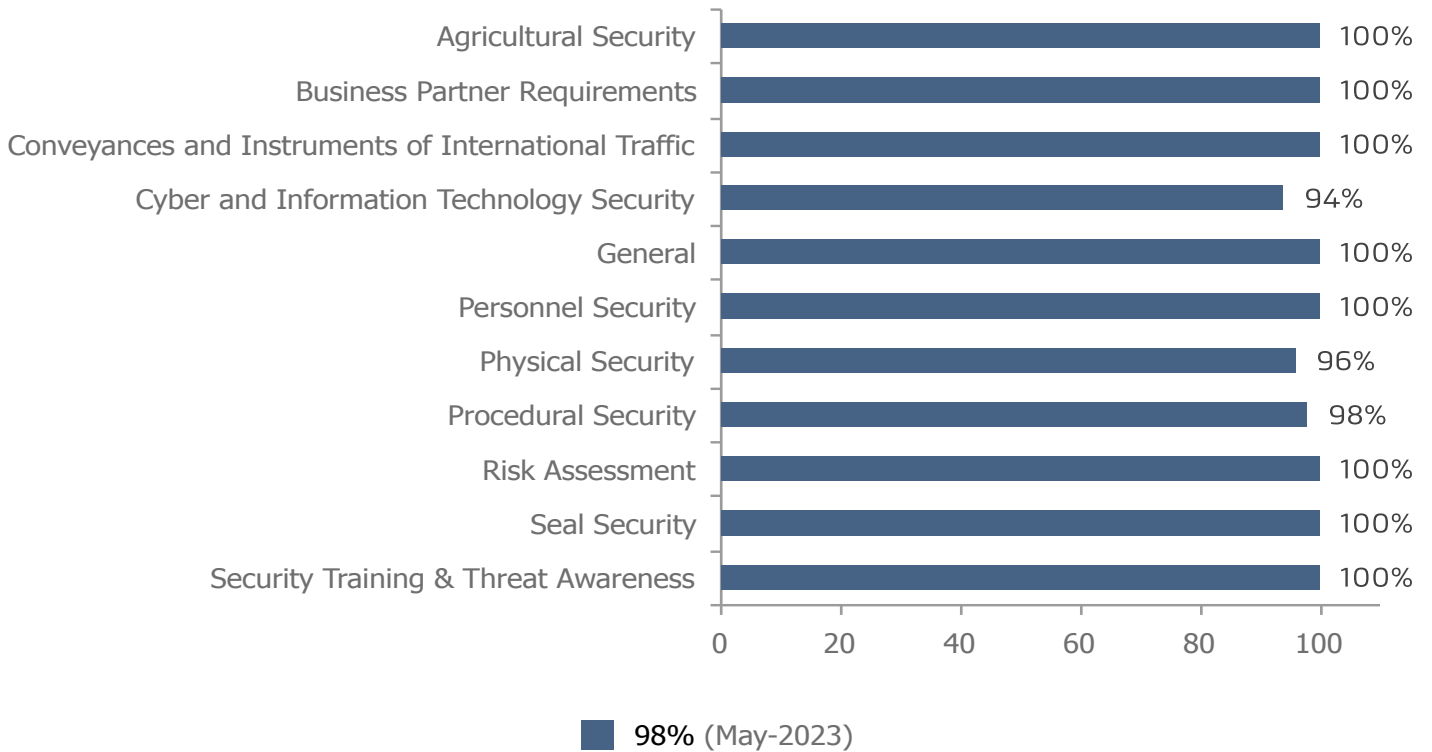
Audit Summary

Post-CAPA

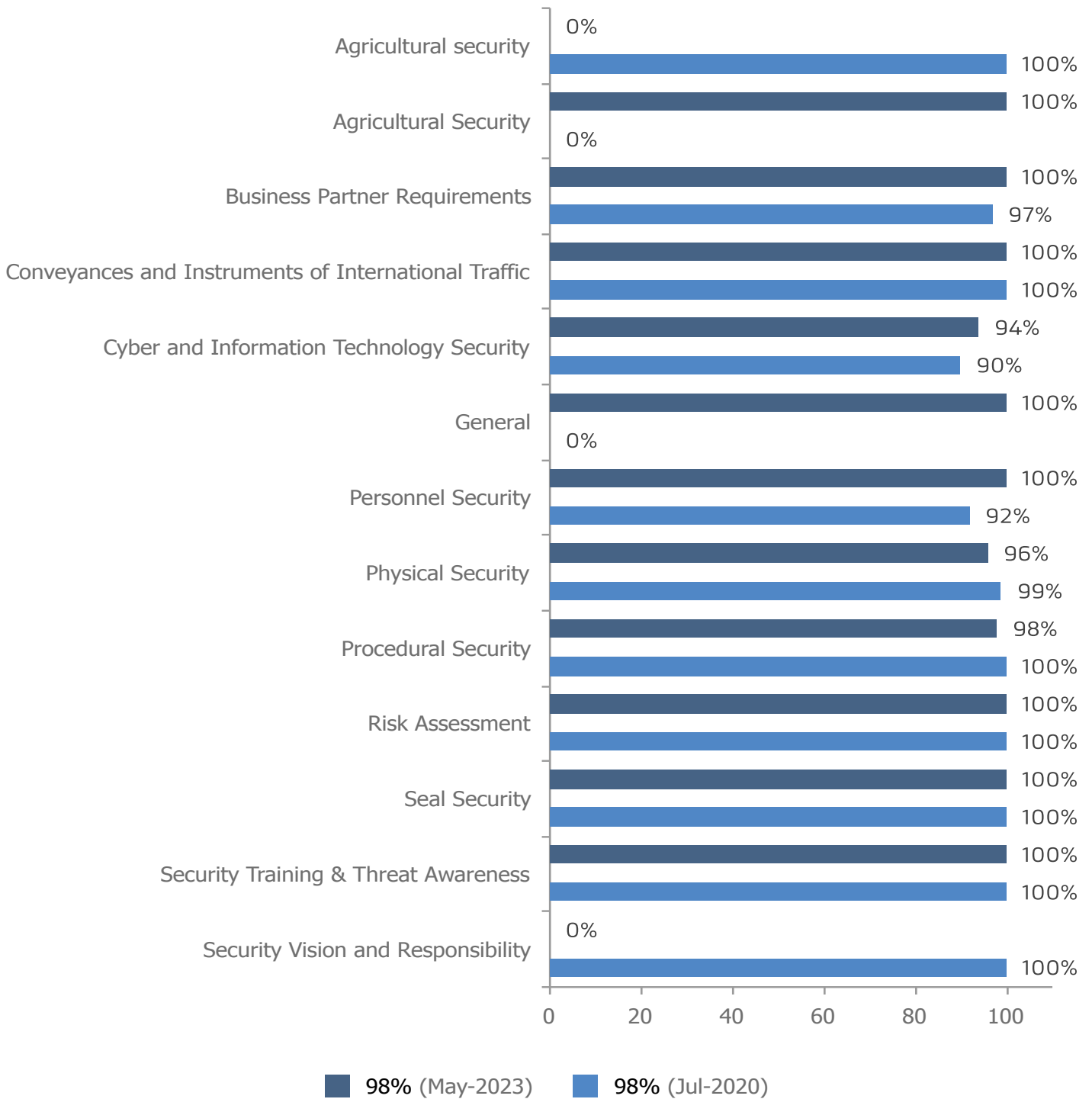
CAPA Submitted Date (Last) 
May 09, 2023

Compliance Score Post-CAPA 
98%

Compliance by Category



Compliance by Category - Last 2 Audits



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?	Yes
Primary Industry of Operations	Manufacturing
Product Type / Commodity	Educational toys
Year Established	2007
Grounds Size (Square Meters)	20000
Number of Buildings	7
Facility Size (Square Meters)	9450
Number of access points? (i.e. gates, exterior doors)	1
Hours of Operation	8:00-12:00, 13:30-17:30 from Monday to Friday. It did not include overtime.
Number of Employees	51 - 100
Number of Contract Employees	72
Number of Inhouse Security Guards	0
Number of Contract Security Guards	6
Number of Migrant Workers	0
Annual Revenue	1 - 5 Million
Does the facility outsource any manufacturing services?	No
If yes to outsourcing any manufacturing services, please describe services outsourced and country location.	NA
What countries does this facility export to?	USA, UK, France
Does this facility have affiliate locations where any work is conducted or product stored?	Nil
Does the facility outsource any transportation services?	Yes

Company Name	Contact Email	Contact Email	Percentage of time
Henan Hongwei Logistics Co. LTD	Tiangui Wei	359375289@qq.com	100

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

No. The facility had its own export license.

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

West of Beihuan Road, Muye Industrial Park , Xinxiang City, Henan Province, China

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

Iris Zhang

Auditor Certification #

238747-216462

Name of onsite Factory Representative (First and Last Name)

Ms. Zhenting Li

Factory Representative Email Address

administration@chinaalpha.net;
henryliu@chinaalpha.net

Audit Responses

Audit Assigned

Feb 24, 2023



Due Date

Apr 10, 2023



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: *No comments were provided*

4 **None** During the current audit, were all previous CAPAs found to have been appropriately addressed/ mitigated as per the CAPA instructions provided?

Yes

No

Comments: Not all points had been corrected. For example, CCTV records could not be kept for more than 30 days.

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



Comments: The facility representatives (Ms. Zhenting Li/Administration manager) participated in the free SCAN Security training on Feb 28, 2023 and obtained the certificates.

Risk Assessment

100%

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

- Yes
- No

Comments: The facility did not conduct a risk assessment on security.

CAPA Assigned **2023/04/12** | Due Date **2023/06/11**

Included in scoring

CAPA: Develop and implement an outline of all business risks that you can identify and what, if any, corrective and preventative measures you intend to put in place.

- If you have already implemented, please describe in the comments section and provide photographic evidence of completion.
- Please provide your corrective action plan and the timeline (future date) for completion and implementation of the process in the comment section.

CAPA Guidance: A risk assessment is a written document that highlights vulnerabilities identified in assessing your operation. Examples of risks include labor shortages, weather concerns such as frequent typhoons, and unreliable utilities. US CBP developed a Five Step Risk assessment guide as an aid for conducting the international risk assessment. A link can be found at US Customs and Border protection website at <https://www.cbp.gov/sites/default/files/documents/C-TPAT%27s%20Five%20Step%20Risk%20Assessment%20Process.pdf>. The risk assessment must include, at a minimum:

- all possible vulnerabilities/risks that could impede the completion of business unique to facility location
- Preventative actions to address known vulnerabilities/risks to minimize and/or prevent disruption of business
- Corrective actions to address both known and unknown vulnerabilities/risks to return to business after disruption

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



[1.jpg](#)

Comments: On April 10, 2023, the factory was made a safety risk assessment and countermeasures table. There are 73 risk items in total, and for each risk item, there is detailed description as below: Risk description, Consequences, Risk index, Risk level, Countermeasures.

For example, labor shortages issue

Risk level: Low

Taken action as below:

1.We locate in Xinxiang City, Henan Province. There is nearly 100 millions of population.

There are many villages around our factory and there are enough manpower.

2.We have established worker database with contact info. Once we need the workers urgently, we can contact them directly.

3.We will upgrade mechanical equipment to increase labor productivity.

Weather concerns

Risk level: Low

Risk description: It is the temperate monsoon climate, there will be a rainy season leading to the risk of flood season.

Taken action:

1.There are sandbags for flood control and pumping pump on site.

2. A flood control team was founded and conducted regular training.

Unreliable internet

Risk level:Low

Risk description: The factory made a total of 14 risk assessments on cyber security, including account and password management on every computer, regular checks by IT staff on company computers, data backup and encryption of sensitive and confidential information, etc.

Electricity

Risk level:Low

Taken action: The factory is equipped with two generators.

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



[1.jpg](#)

Comments: We have made a risk assessment list on security on 04/10. And we have conducted the risk assessment on security based on the list one by one. And the risk has been classed to take action to improve it.

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



[1.jpg](#)

Comments: Already implemented

10

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: The facility set a cargo mapping process for the transportation company and it included transit time, but locations where freight may be at rest was not designated.

CAPA Assigned **2023/04/12** | Due Date **2023/06/11**

Included in scoring

CAPA: This is a best practice. Please consider developing a cargo movement management process as this may become a requirement in the future.

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 cargo movement management process that includes: the names and contact information for providers, routes cargo takes, transit times and distances and all potential points where freight may be at rest.

- Already implemented
- Acknowledged - Will consider implementation in future

[青岛港.jpg](#)

Comments: The procedure has been modified. The factory has made a road map to Ningbo Port.

It describes in detail the route, the driver's rest point, the transportation time, the seal of the transportation company, etc.

There are four designated rest points for the driver and the driver can have a rest in each of 4 points for no more than 30 minutes.

It is agreed that the driver can only rest at the designated rest point.

- Already implemented
- Acknowledged - Will consider implementation in future

[青岛港.jpg](#)

Comments: We have checked with transportation company and updated the cargo mapping process.

Rest areas during transportation have been designated. The quantity is based on the distance. And the driver will have a rest for 30 minutes each rest area.

For example, it takes about 1178km from our factory to Ningbo Port. And there would be 4 rest areas designated during.

- Already implemented
- Acknowledged - Will consider implementation in future

[青岛港.jpg](#)

Comments: Already implemented

11

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: The facility established a crisis plan but it did not include alternative locations if the facility is rendered unusable.

CAPA Assigned **2023/04/12** | Due Date **2023/06/11**

Included in scoring

CAPA: This is a best practice. Please consider developing and sharing your facility crisis plan as this may become a requirement in the future.

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: It must be included in your crisis plan below listed information:

- Define types of crises
- Information on how the facility responds to each type of crises
- How facility communicates crises to affected business partners
- Information on alternate locations that would be used should the facility be rendered unusable due to crises

Already implemented

Acknowledged - Will consider implementation in future



转移工作场所.jpg

Comments: We have checked and updated our crisis plan to include alternative locations.

When the facility is rendered unusable, we will move to our neighbour factory to continue. It has been confirmed for both of us.

Already implemented

Acknowledged - Will consider implementation in future



转移工作场所.jpg

Comments: Already implemented

Business Partner Requirements

100%

12 None Does the facility contract services such as security, transportation or manufacturing labor?

Yes

No

Comments: No comments were provided

13 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

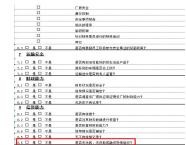
Yes - Security criteria reviewed and provided in English only

Comments: The written procedures for the selection of business partners has been updated. It added the contents of money laundering, financing or financing terrorist organizations mentioned in this audit.

The procurement department of the factory evaluated all the suppliers before April 12, 2023 based on the updated procedures to ensure all of them can meet the requirement.

The evaluation form contains the evaluation content and the newly added content, and the signature and date of the procurement department reviewer and general manager. Besides, there is the supplier's seal, signature and seal signature date.

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

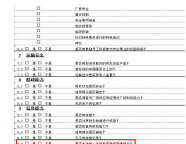


供应商评估表里增... jpg

Comments: We have updated our procedure to select business partners to include the verification of evidence of any kind of money laundering or terrorism funding and monitoring.

Also we have assessed all of our business partners based on the new procedure to ensure they meet our requirement.

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



供应商评估表里增... jpg

Comments: Already implemented

15 **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

16 **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*

17 **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

94%

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

Yes

No

Comments: *No comments were provided*

19 **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: The facility established cyber security polices and procedures, but the last update was done on Mar 31, 2020, more than 18 months ago.

20 **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*

21 **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: Software is updated automatically.

22 **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 comments were provided*

23 None What actions are taken when problems are identified while testing firewall, malware, and other network vulnerabilities?

No options available

Comments: IT supervisor will be informed, and then update anti-virus software manually when necessary.

24 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: *No comments were provided*

25 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: *No comments were provided*

26 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*

27 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)

Access immediately removed for terminated employees

Employees on long term disability or maternity leave have access suspended

No written procedure is available

Employees on long term disability or maternity leave do not have access suspended

Actions are unknown of procedures taken

Comments: *No comments were provided*

28 **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*

29 **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 facility does not permit remote access to its IT network system.

30 **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*

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

- Yes
- No

Comments: *No comments were provided*

32 **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*

33 **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: The facility backed up data via harddisk. But the backup was not stored offsite.

CAPA Assigned **2023/04/12** | Due Date **2023/06/11**

Included in scoring

CAPA: This is a best practice. Please consider establishing a cybersecurity policy to include data backup is stored. 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 said policy should include:

- data backup located offsite from facility, such as cloud storage
- encrypted data

- Already implemented
- Acknowledged - Will consider implementation in future



另一存放点为总经... jpg

Comments: We have backed up the date and stored in 2 ways.

One is to store and encrypt offsite from facility in the cloud storage.

The other ways is to store and encrypt in the disk. It is stored offsite to ensure the date safe.

- Already implemented
- Acknowledged - Will consider implementation in future



另一存放点为总经... jpg

Comments: We have backed up date and stored in general manager's home. It is stored offsite to ensure the date safe.

- Already implemented
- Acknowledged - Will consider implementation in future



另一存放点为总经... jpg

Comments: Already implemented. The data backup has been stored in general manager's home.

34 **Must** Is equipment slated for disposal returned to the IT department?

- Yes
- No

Comments: *No comments were provided*

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

Yes

No

Comments: *No comments were provided*

36 **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: Based on observation, the shipping area was separate from the parking area. And seals of ISO 17712 standard were used to secure the container. The shipping area was enclosed by fences. CCTV and lighting were also installed in the area.

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

Yes

No

Comments: No container inspection was in process during the audit. And no CCTV recordings were kept for previously completed container inspections.

38 **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*

39 **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



[Container and trai... docx](#)

Inspection for invasive species (eggs nests, dirt seeds) included

No inspections completed or documented

Comments: *No comments were provided*

40 **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 CCTV videos were taken during the container/trailer inspection process.

CAPA Assigned **2023/04/12** | Due Date **2023/06/11**

Included in scoring

CAPA: This is a best practice. Please consider establishing a program that requires photos and/ or CCTV records are taken during the container/ trailer loading process.

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:

- Photos taken of the cargo loading process that include seal and container numbers
- CCTV video recorded of the entire cargo loading process

Already implemented

Acknowledged - Will consider implementation in future



[监控拍摄.jpg](#)

Comments: We have taken CCTV videos during the container/trailer inspection process and will keep the video for a longer time in future.

Already implemented

Acknowledged - Will consider implementation in future



[监控拍摄.jpg](#)

Comments: Already implemented

41 **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



[Container inspecti... docx](#)

Comments: One mirror was available for inspection container/trailer. But it was not a convex mirror.

CAPA: Develop a written procedure on container/ trailer inspection practices and describe what equipments have been deployed to accurately accomplish the required 7 point trailer/container inspection in the comments section, and provide pictures of the equipment deployed as evidence.

CAPA Guidance: The inspection practices should include:

- A measurement tool such as laser distance measurer, pre-measured string, or tape measure
- Mirror manufactured specifically for inspecting vehicle undercarriages. Other types of mirrors such as make up mirrors are not acceptable.
- A mallet or hammer to test walls
- A tool to sweep/clean the inside of the container/trailer such as a broom, blower air hose, shop vacuum, etc.

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

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Comments: We have prepared a conver mirror for inspection container/trailer.

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

[0FCB4723-7CA8-4... png](#)

Comments: Already implemented

42 **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: Inside of trailer/container could not be visible from tail to nose on CCTV.

CAPA: This is a best practice. Please consider establishing a process where the trailer/container inspections are supervised and/or captured on CCTV. Please supervise inspections or capture inspections on CCTV showing tail to nose views.

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 inspections must be conducted in a secured area. The said policy should include at a minimum:

- All container/trailer inspections must take place in an access controlled area and recorded on CCTV
- Video must capture entire secured area, and inside of container/trailer from tail to nose

- Already implemented

Acknowledged - Will consider implementation in future



Comments: The security guards are conducting safety checks on the shipped vehicles according to shipment requirements in view of CCTV cameras.

Already implemented

Acknowledged - Will consider implementation in future



装卸区现场.jpg

Comments: We have adjusted the CCTV location to ensure the inside of trailer/container could be visible from tail to nose on CCTV.

Already implemented

Acknowledged - Will consider implementation in future



装卸区现场.jpg

Comments: Already implemented

43 **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*

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

Yes

No

Comments: *No comments were provided*

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

Yes

No

Comments: *No comments were provided*

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

Yes

No

Comments: *No comments were provided*

47 **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*

48 **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*

49 **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*

50 **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*

51 **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



[Driver log.docx](#)

- Date
- Arrival Time
- Departure Time
- Seal verification information for container/trailer departure
- No driver log available

Comments: *No comments were provided*

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

- Yes
- No

Comments: The facility doesn't use LCL shipment

54 None Does the facility make air shipments?

- Yes
- No

Comments: The facility does not make air shipments.

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

- Yes
- No

Comments: The facility does not make any shipment in open top, open sided, ventilated (livestock) or soft sided containers.

58 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



[Seal test report.jpg](#)

Comments: *No comments were provided*

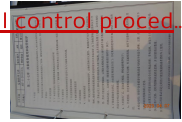
59 Critical Does the facility have written and verifiable procedures to ensure that security seals are controlled? (Select all that apply)

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

[Seal control proced. jpg](#)



Comments: *No comments were provided*

Agricultural Security

100%

- 60 **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*

- 61 **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*

- 62 **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: No wood packaging materials were used in the factory.

- 63 **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: No wood products or materials were used in the manufacturing or packaging process.

64 **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: No wood pallets were used in the shipping process.

Seal Security

100%

65 **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



[Seals storage.jpg](#)

Comments: Sales were kept by Mr. Liu/Sales manager in a locked drawer.

66 **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*

67 **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*

68 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.

- 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 testing procedure was recorded by photos, but no CCTV records were available because previous CCTV records could not be reviewed.

CAPA Assigned **2023/04/12** | Due Date **2023/06/11**

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

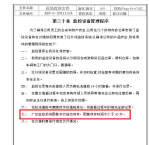


Comments: The new requirement has been added in the doc that CCTV video has been asked to record for at least 45 days.

The factory began recording on April 7, 2023, and pulled footage from the cameras on April 8, April 12, April 16, and April 25.

Already implemented

Will not implement/ will not comply with corrective action request

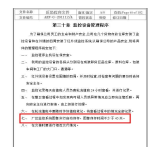


[Dingtalk_20230419...jpg](#)

Comments: The new requirement has been added in the doc that CCTV video has been asked to record for at least 45 days.

Already implemented

Will not implement/ will not comply with corrective action request



[Dingtalk_20230419...jpg](#)

Comments: Already implemented.

The new requirement has been added in the doc that CCTV video has been asked to record for at least 45 days.

Procedural Security

98%

69 **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



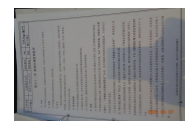
[Shipping_and recei...docx](#)

Comments: *No comments were provided*

70 **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



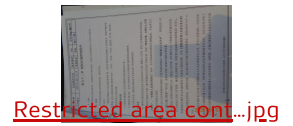
[Restricted area cont...jpg](#)

Comments: *No comments were provided*

71 **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



Comments: *No comments were provided*

72 **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



Comments: *No comments were provided*

73 **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



Comments: *No comments were provided*

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

Yes (please attach photo of applicable documentation)

No

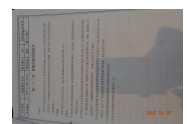


Comments: *No comments were provided*

75 **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



Comments: *No comments were provided*

76 **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*

77 **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: Printers in the facility were not shared.

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

- Yes
- No

Comments: Commercial documents packets were kept in hard or soft copy and sent with the shipment after crosscheck by the facility and the driver at departure.

79 **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

[Shipment security_p...jpg](#)

Comments: *No comments were provided*

80 **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

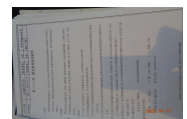


[Access control.docx](#)

Comments: *No comments were provided*

81 **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



[Security accidents d...jpg](#)

Comments: *No comments were provided*

82 **Material** Does the shipping department validate the freight being loaded against the Purchase

Order prior to departure?

- Yes
- No

Comments: *No comments were provided*

83 **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



[Access device con... docx](#)

Comments: *No comments were provided*

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

- Yes
- No

Comments: *No comments were provided*

85 **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*

86 **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*

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

- Yes
- No

Comments: *No comments were provided*

88 **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



[Shipping_area_rec... docx](#)

Comments: *No comments were provided*

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

- Yes
- No

Comments: *No comments were provided*

90 **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*

91 **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



[Access_control.docx](#)

Comments: Perimeters were installed with walls with CCTV and lights. Security guards were also available to monitor the access.

92 **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



[Gate.jpg](#)

Comments: *No comments were provided*

93 **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

Comments: *No comments were provided*

94 **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
 None

Comments: *No comments were provided*

CAPA Assigned **2023/04/12** | Due Date **2023/06/11**

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



[3.jpg](#)

Comments: Hand-held metal detectors are prepared to conduct full-body scans of all people entering the factory.

The security technologies, such as CCTV, security alarms and access controls, would be updated once a year. We have updated our written procedure to ensure all would be updated on time.

The latest update has been conducted on 2023/4/11.

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



网络安全程序更新.jpg

Comments: The security technologies, such as CCTV, security alarms and access controls, would be updated once a year. We have updated our written procedure to ensure all would be updated on time.

The latest update has been conducted on 2023/4/11.

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



网络安全程序更新.jpg

Comments: Already implemented

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

- Yes
- No

Comments: *No comments were provided*

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

- Yes
- No

Comments: *No comments were provided*

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

- Contracts are annually reviewed
- Contracts are only reviewed when problems are uncovered
- No contract is in place

Comments: *No comments were provided*

98 **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*

99 **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: *No comments were provided*

100 **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)
- All exit(s)
- Storage/warehouse
- Loading area(s)
- Unloading area(s)
- CCTV coverage in additional areas. (Please explain if not selecting this answer)
- No CCTV

Comments: CCTV was also installed in the packing workshop.

101 **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*

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

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



[CCTV system.docx](#)

Comments: *No comments were provided*

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

- Yes
- No

Comments: *No comments were provided*

104 **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*

105 **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

Comments: CCTV records could be reviewed from 8:00AM on the audit day. The records before the audit could not be reviewed. The facility representative explained the previous records were deleted carelessly at 8:00AM on the audit day, so all previous records could not be reviewed now.

106 **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*

107 **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 is required

Visitor Log is utilized

No written process is in place

Photo IDs are not checked

Comments: *No comments were provided*

108 **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*

109 **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 was u... jpg](#)

Comments: No comments were provided

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

Yes

No

Comments: No comments were provided

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

Yes

No

Comments: No comments were provided

112 **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 or high value goods were stored at the facility

Personnel Security

100%

113 **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

114 **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

115 **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)

Only select NA if not allowed by local law.

- Written policy is available
- Criminal background checks completed
- Credit check completed
- Nothing in place
- NA

Comments: The facility conducted a background check, but it did not include credit check for workers.

CAPA Assigned **2023/04/12** | Due Date **2023/06/11**

Included in scoring

CAPA: Include in the personnel security procedure the requirement of performing background check on applicant/employee working in sensitive areas.

- 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 procedure must include at a minimum:

- If allowed by law, criminal and credit background checks must be conducted for employees working in sensitive areas

- If not allowed by law, facility must provide stature that prevents them from conducting legal criminal and credit background checks

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

[1.jpg](#)

Comments: On April 11, 2023, the factory conducted a credit survey for everyone employee by Sesame Credit in the Alipay APP, and the results all showed that the credit was very good/excellent.

The photo is credit survey result for one of our employees. And the score is 764 and credit is very good.

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

[1.jpg](#)

Comments: We have included credit check for workers and conducted for all of our workers already.

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

1.jpg

Comments: Already implemented

Security Training & Threat Awareness

100%

116 **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

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

- Yes
- No

Comments: No comments were provided

118 **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 evaluation such as exam was arranged at the end of a training.

CAPA Assigned **2023/04/12** | Due Date **2023/06/11**

Included in scoring

CAPA: This is a best practice. Please consider establishing an evaluation process regarding your training program. 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 evaluation process should include:

- Assessments after training is conducted to measure employees' understand of training material
- Score threshold that indicates a minimum understanding of material
- If score falls below threshold, retraining required

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

[5.jpg](#)

Comments: On April 18, 2023, the factory conducted anti-terrorism knowledge training for all employees.

After it, written tests was conducted for all employees. All employees were qualified for the training.

The picture shows the examination papers and results of 4 employees.

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

[1.jpg](#)

Comments: After a training, we have arranged an exam for all attendances to ensure they can understand the training clearly.

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

[1.jpg](#)

Comments: Already implemented

119 **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*

120 **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*

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

- Yes
 No

Comments: *No comments were provided*

122 **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*

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

- Yes
 No

Comments: *No comments were provided*

124 **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*

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

- Yes
 No

Comments: *No comments were provided*

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

- Yes
 No

Comments: *No comments were provided*

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

No options available



[Facility_gate_and_n...docx](#)

Comments: The facility is located at West of Beihuan Road, Muye Industrial Park, Xinxiang City, Henan Province, China. The facility was in one industrial yard. The front gate of the industrial yard was installed and monitored by the security guard station. The name of the facility was posted near the entry gate.

128 **None** Describe the guard station and facility access gates. Please attach a picture.

No options available



[Guard_station_at_acc...jpg](#)

Comments: The security guard station located at the entrance of the facility. 6 security guards employed from one security company worked at the security guard station to monitor all sensitive areas, control, and record the access to the facility in two shifts.

129 **None** Describe the buildings and structures for this location. Please attach a picture.

No options available



[Facility_buildings.docx](#)

Comments: The facility used seven buildings. The layout was as below:

Building No.1: 1F~3F_Offices.

Building No.2: 1F_Warehouse.

Building No.3: 1F_Warehouse, assembling, packing.

Building No.4: 1F_Assembling, packing.

Building No.5: 1F_Assembling, packing.

Building No.6: 1F_Assembling, packing. 2F_Warehouse.

Building No.7: 1F_Dormitory, canteen, kitchen.

130 **None** Describe the shipping and receiving areas. Please attach a picture.

No options available



[Shipping_and_recei...docx](#)

Comments: The receiving/shipping area located near to the No.2 building. The shipping and receiving areas were enclosed with fences when loading or unloading happened. CCTV and lighting were also installed. Authorization list with photo for the shipping/receiving area was also posted. Access limit was carried out.

131 **None** Describe how the perimeter of the facility is protected from unauthorized access? Please

attach pictures

No options available



[Perimeter of the f... docx](#)

Comments: The facility installed concrete walls to enclose the facility area. CCTV, security alarms and lightings were available.

132 None Describe the final packaging area. Please attach a picture.

No options available



[Packing_area.docx](#)

Comments: The packing process was restricted. CCTV was installed. Access limit was carried out. The authorization list was posted. Auditor needed register to get in the packing areas.

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

No options available



[Loading_area_and... docx](#)

Comments: Parking areas are located near the entrance gate of the facility. The container on the trailer was stored near the No.2 building. They were separated.

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

Yes

No



[Opening_meeting_le... pdf](#)

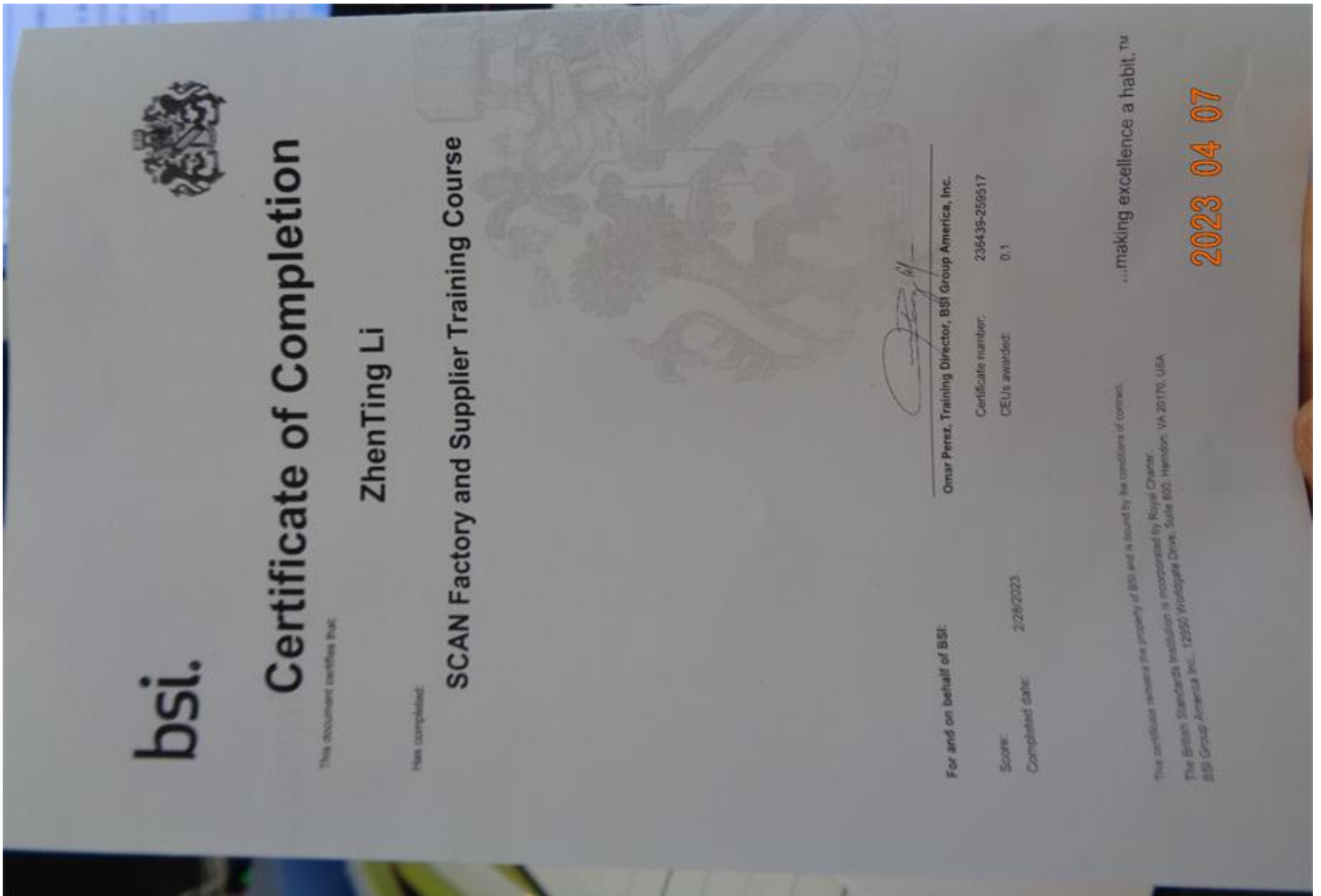
Comments: *No comments were provided*

Attached Documentation - Photos

General - Question # 1

[Business License.jpg](#)

General - Question # 5



[SCAN training certificate.jpg](#)

Risk Assessment - Question # 6

新乡市阿尔发实业有限公司反恐安全体系风险评估-----2023-04-10 更新

2023 年反恐安全风险评估及应对措施表

评估日期: 2023. 04. 10

评估人: 反恐小组及组长李振婷

序号	风险项目	风险描述	后果	可能性指数	后果严重指数	风险指数	风险等级	应对措施	备注
1	安全愿景与责任	没有反恐安全愿景与责任承诺书	不符合反恐安全要求	2	2	4	低	制定反恐安全分针目标及责任承诺书	
2	安全愿景与责任	没有对反恐安全进行定期评审	不符合反恐安全要求	2	2	4	低	进行定期评审	
3	安全愿景与责任	没有设定反恐安全联络员	不符合反恐安全要求	2	2	4	低	任命安全联络员	
4	安全愿景与责任	没有跨部门的安全代表	不符合反恐安全要求	2	2	4	低	任命跨部门的安全代表	
5	安全愿景与责任	高层不重视, 没有安全承诺	不符合反恐安全要求	2	2	4	低	制定反恐安全承诺书	
6	风险评估	没有进行风险评估	不符合风险评估要求	2	2	4	低	制定风险评估程序, 进行风险评估	
7	风险评估	风险评估不全面	不符合风险评估要求	3	2	6	中	制定风险评估程序, 进行风险评估	
8	风险评估	风险评估没规定至少一年进行一次	不符合风险评估要求	2	2	4	低	制定风险评估程序, 进行风险评估	
9	风险评估	风险评估未包括货物的移动线路图	不符合风险评估要求	3	2	6	中	制定风险评估程序, 进行风险评估	
10	商业合作伙伴	没有合格供应商名录	无法对供应商进行反恐管控	2	3	6	中	建立合格供应商名录	
11	商业合作伙伴	没有对供应商进行反恐调查	供应商未按反恐要求	2	3	6	中	对供应商进行反恐调查	

1.jpg

Risk Assessment - Question # 6

新乡市阿尔发实业有限公司反恐安全体系风险评估-----2023-04-10 更新

2023 年反恐安全风险评估及应对措施表

评估日期: 2023. 04. 10

评估人: 反恐小组及组长李振婷

序号	风险项目	风险描述	后果	可能性 指数	后果严 重指数	风险 指数	风险 等级	应对措施	备注
1	安全愿景与责任	没有反恐安全愿景与责任承诺书	不符合反恐安全要求	2	2	4	低	制定反恐安全分针目标及责任承诺书	
2	安全愿景与责任	没有对反恐安全进行定期评审	不符合反恐安全要求	2	2	4	低	进行定期评审	
3	安全愿景与责任	没有设定反恐安全联络员	不符合反恐安全要求	2	2	4	低	任命安全联络员	
4	安全愿景与责任	没有跨部门的安全代表	不符合反恐安全要求	2	2	4	低	任命跨部门的安全代表	
5	安全愿景与责任	高层不重视, 没有安全承诺	不符合反恐安全要求	2	2	4	低	制定反恐安全承诺书	
6	风险评估	没有进行风险评估	不符合风险评估要求	2	2	4	低	制定风险评估程序, 进行风险评估	
7	风险评估	风险评估不全面	不符合风险评估要求	3	2	6	中	制定风险评估程序, 进行风险评估	
8	风险评估	风险评估没规定至少一年进行一次	不符合风险评估要求	2	2	4	低	制定风险评估程序, 进行风险评估	
9	风险评估	风险评估未包括货物的移动线路图	不符合风险评估要求	3	2	6	中	制定风险评估程序, 进行风险评估	
10	商业合作伙伴	没有合格供应商名录	无法对供应商进行反恐管控	2	3	6	中	建立合格供应商	
11	商业合作伙伴	没有对供应商进行反恐调查	供应商未按反恐要求	2	3	6	中	建立合格供应商	

1.jpg

Risk Assessment - Question # 6

新乡市阿尔发实业有限公司反恐安全体系风险评估-----2023-04-10 更新

2023 年反恐安全风险评估及应对措施表

评估日期: 2023. 04. 10

评估人: 反恐小组及组长李振婷

序号	风险项目	风险描述	后果	可能性 指数	后果严 重指数	风险 指数	风险 等级	应对措施	备注
1	安全愿景与责任	没有反恐安全愿景与责任承诺书	不符合反恐安全要求	2	2	4	低	制定反恐安全分针目标及责任承诺书	
2	安全愿景与责任	没有对反恐安全进行定期评审	不符合反恐安全要求	2	2	4	低	进行定期评审	
3	安全愿景与责任	没有设定反恐安全联络员	不符合反恐安全要求	2	2	4	低	任命安全联络员	
4	安全愿景与责任	没有跨部门的安全代表	不符合反恐安全要求	2	2	4	低	任命跨部门的安全代表	
5	安全愿景与责任	高层不重视, 没有安全承诺	不符合反恐安全要求	2	2	4	低	制定反恐安全承诺书	
6	风险评估	没有进行风险评估	不符合风险评估要求	2	2	4	低	制定风险评估程序, 进行风险评估	
7	风险评估	风险评估不全面	不符合风险评估要求	3	2	6	中	制定风险评估程序, 进行风险评估	
8	风险评估	风险评估没规定至少一年进行一次	不符合风险评估要求	2	2	4	低	制定风险评估程序, 进行风险评估	
9	风险评估	风险评估未包括货物的移动线路图	不符合风险评估要求	3	2	6	中	制定风险评估程序, 进行风险评估	
10	商业合作伙伴	没有合格供应商名录	无法对供应商进行反恐管控	2	3	6	中	建立合格供应商	
11	商业合作伙伴	没有对供应商进行反恐调查	供应商未按反恐要求	2	3	6	中	建立合格供应商	

1.jpg

Risk Assessment - Question # 10

青岛港.jpg

Risk Assessment - Question # 10

青岛港.jpg

Risk Assessment - Question # 10

青岛港.jpg

Risk Assessment - Question # 11

文件名称	反恐程序文件	版本/版次	A/0	页码:Page 59 of 102
文件编号	AEF-G-201112/A	管控状态	受控	修订日期

第二十三章 紧急事故处理程序

1.目的

明确突发性紧急事故时,本公司员工如何及时把突发紧急事故准确的汇报给相关主管部门及安全主管,确保突发紧急事件得到及时处理,把紧急事故对生命、财产构成的危险减少到最少。

2.范围

紧急事故汇报事件包括: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,火警事故,员工打斗事件,员工工伤、突发事件等。

3.程序

- 3.1.凡在厂内生产的员工,当有事故发生时,应立即向部门主管汇报。
- 3.2.当有紧急事故发生时,应立即向值班保安汇报。
- 3.3.当部门主管或值班保安员接到员工紧急事故的事件汇报后,应立即把紧急事故情况汇报给安全主任。
- 3.4.当安全保安员在值班时发生紧急事故,当班保安员应立即把紧急事件的情况及时报给安全主任。
- 3.5.当安全主任接到紧急事故的事件汇报后,如事态严重,应立即向当地公安机关汇报,记录于《报警记录表》内,并在事故发生后的24小时内把事件经过汇报给客户。
- 3.6.管制区或工厂内有擅闯者进入时,应立即把擅闯者的情况及时报给安全主任,并记录于《擅闯者记录表》内。
- 3.7.当有紧急事故发生,严重影响正常生产工作时,需听从安全主任指挥,将生产场所转移至隔壁工厂“新乡市永安机械设备有限公司”正常生产。

3.8 汇报联系人名单:

安全主任:李振婷 详见反恐组织结构图

4.紧急联系电话号码:

报 警: 110 (外线) 火 警: 119 (外线) 急救: 120
派出所: 0373-2627540 安全主任: 13839087104

此为新乡市阿尔发实业有限公司内部档,未经许可不得修改和翻印

[转移工作场所.jpg](#)

Risk Assessment - Question # 11

文件名称	反恐程序文件	版本/版次	A/0	页码:Page 59 of 102
文件编号	AEF-G-201112/A	管控状态	受控	修订日期

第二十三章 紧急事故处理程序

1.目的

明确突发性紧急事故时，本公司员工如何及时把突发紧急事故准确的汇报给相关主管部门及安全主管，确保突发紧急事件得到及时处理，把紧急事故对生命、财产构成的危险减少到最少。

2.范围

紧急事故汇报事件包括：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，火警事故，员工打斗事件，员工工伤、突发事件等。

3.程序

- 3.1.凡在厂内生产的员工，当有事故发生时，应立即向部门主管汇报。
- 3.2.当有紧急事故发生时，应立即向值班保安汇报。
- 3.3.当部门主管或值班保安员接到员工紧急事故的事件汇报后，应立即把紧急事故情况汇报给安全主任。
- 3.4.当安全保安员在值班时发生紧急事故，当班保安员应立即把紧急事件的情况及时报给安全主任。
- 3.5.当安全主任接到紧急事故的事件汇报后，如事态严重，应立即向当地公安机关汇报，记录于《报警记录表》内，并在事故发生后的 24 小时内把事件经过汇报给客户。
- 3.6.管制区或工厂内有擅闯者进入时，应立即把擅闯者的情况及时报给安全主任，并记录于《擅闯者记录表》内。
- 3.7.当有紧急事故发生，严重影响正常生产工作时，需听从安全主任指挥，将生产场所转移至隔壁工厂“新乡市永安机械设备有限公司”正常生产。

3.8 汇报联系人名单：

安全主任：李振婷 详见反恐组织结构图

4.紧急联系电话号码：

报 警： 110（外线） 火 警： 119（外线） 急救： 120
派出所：0373-2627540 安全主任： 13839087104

此为新乡市阿尔发实业有限公司内部档，未经许可不得修改和翻印

[转移工作场所.jpg](#)

Business Partner Requirements - Question # 14

<input type="checkbox"/>	厂房安全
<input type="checkbox"/>	通行控制
<input type="checkbox"/>	安全事项报告
<input type="checkbox"/>	相关的程序
<input type="checkbox"/>	偷窃防御
<input type="checkbox"/>	针对特殊职员进行的特殊培训
<input type="checkbox"/>	其它
6.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否有鼓励员工积极参与安全事业的奖励政策？
7 运输安全	
7.1 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否用封闭性能好的货车运送产品？
7.2 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	装好货的车厢是否会上锁？
7.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	运输途中是否有专人监管？
8 财政能力	
8.1 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	财务状况是否安全？
8.2 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	信用情况是否确定？
8.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否调查该厂得供应商证明该厂的财政能力？
8.4 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	无历史不良记录？
9 信誉能力	
8.1 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否有信誉？
8.2 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否对其财务数据进行核查？
8.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否核查其财政能力？
8.4 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	信用情况是否确定？
8.5 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	无不良信誉记录？
8.6 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否无洗钱、无资助或融资恐怖组织？

供应商评估表里增加是否洗钱或资助恐怖组织.jpg

Business Partner Requirements - Question # 14

<input type="checkbox"/>	厂房安全
<input type="checkbox"/>	通行控制
<input type="checkbox"/>	安全事项报告
<input type="checkbox"/>	相关的程序
<input type="checkbox"/>	偷窃防御
<input type="checkbox"/>	针对特殊职员进行的特殊培训
<input type="checkbox"/>	其它
6.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否有鼓励员工积极参与安全事业的奖励政策？
7 运输安全	
7.1 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否用封闭性能好的货车运送产品？
7.2 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	装好货的车厢是否会上锁？
7.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	运输途中是否有专人监管？
8 财政能力	
8.1 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	财务状况是否安全？
8.2 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	信用情况是否确定？
8.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否调查该厂得供应商证明该厂的财政能力？
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供应商评估表里增加是否洗钱或资助恐怖组织.jpg

Business Partner Requirements - Question # 14

<input type="checkbox"/>	厂房安全
<input type="checkbox"/>	通行控制
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<input type="checkbox"/>	相关的程序
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<input type="checkbox"/>	针对特殊职员进行的特殊培训
<input type="checkbox"/>	其它
6.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否有鼓励员工积极参与安全事业的奖励政策？
7 运输安全	
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7.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	运输途中是否有专人监管？
8 财政能力	
8.1 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	财务状况是否安全？
8.2 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	信用情况是否确定？
8.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否调查该厂得供应商证明该厂的财政能力？
8.4 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	无历史不良记录？
9 信誉能力	
8.1 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否有信誉？
8.2 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否对其财务数据进行核查？
8.3 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否核查其财政能力？
8.4 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	信用情况是否确定？
8.5 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	无不良信誉记录？
8.6 <input type="checkbox"/> 是 <input type="checkbox"/> 不是	是否无洗钱、无资助或融资恐怖组织？

供应商评估表里增加是否洗钱或资助恐怖组织.jpg

Cyber and Information Technology Security - Question # 33



[另一存放点为总经理家2.jpg](#)

Cyber and Information Technology Security - Question # 33



[另一存放点为总经理家2.jpg](#)

Cyber and Information Technology Security - Question # 33



[另一存放点为总经理家2.jpg](#)

Conveyances and Instruments of International Traffic - Question # 40



[监控拍摄.jpg](#)

Conveyances and Instruments of International Traffic - Question # 40



[监控拍摄.jpg](#)

Conveyances and Instruments of International Traffic - Question # 41

[0FCB4723-7CA8-4dde-A906-433F3261D03C.png](#)

Conveyances and Instruments of International Traffic - Question # 41

[0FCB4723-7CA8-4dde-A906-433F3261D03C.png](#)

Conveyances and Instruments of International Traffic - Question # 42



[1.jpg](#)

Conveyances and Instruments of International Traffic - Question # 42



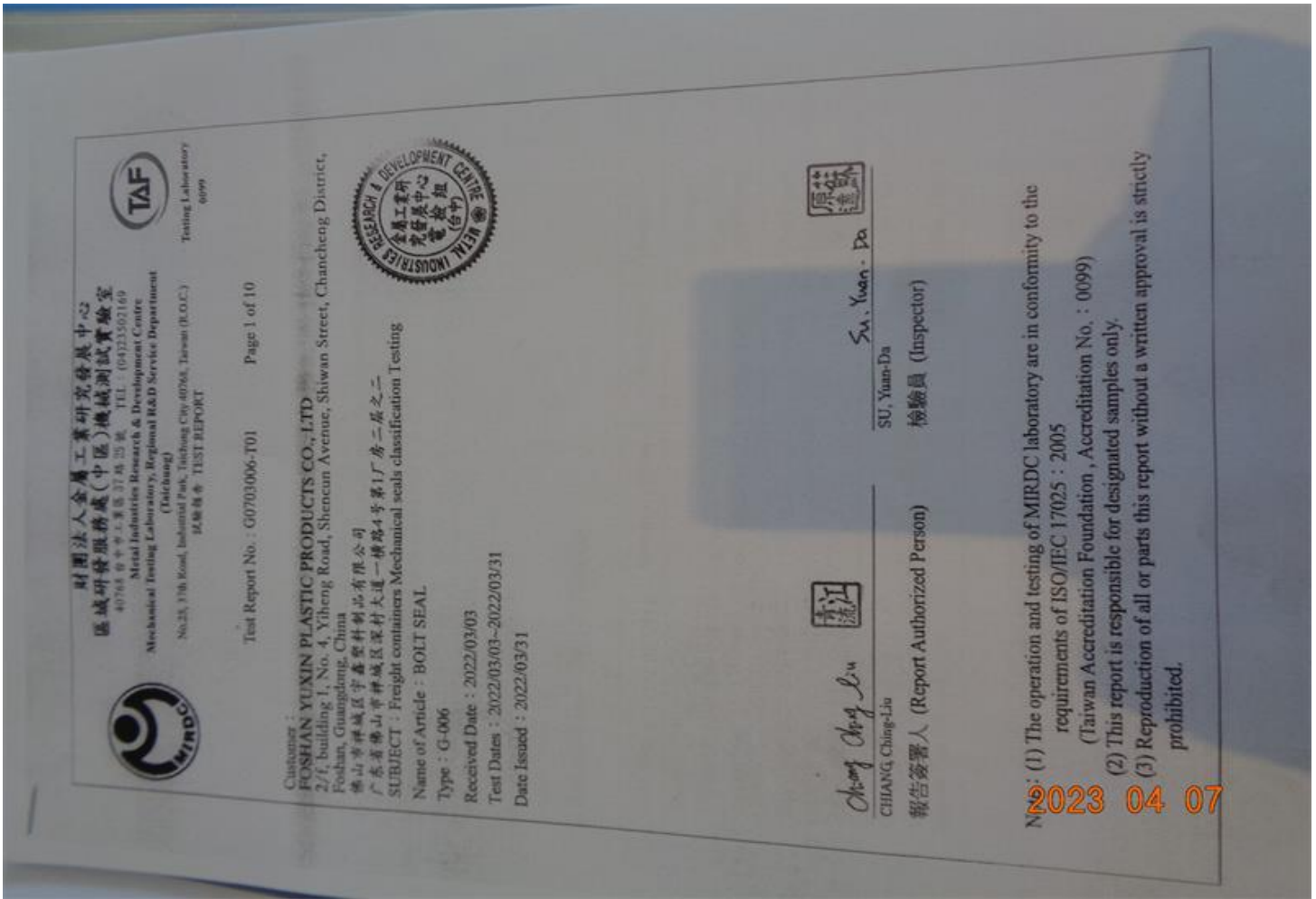
[装卸区现场.jpg](#)

Conveyances and Instruments of International Traffic - Question # 42



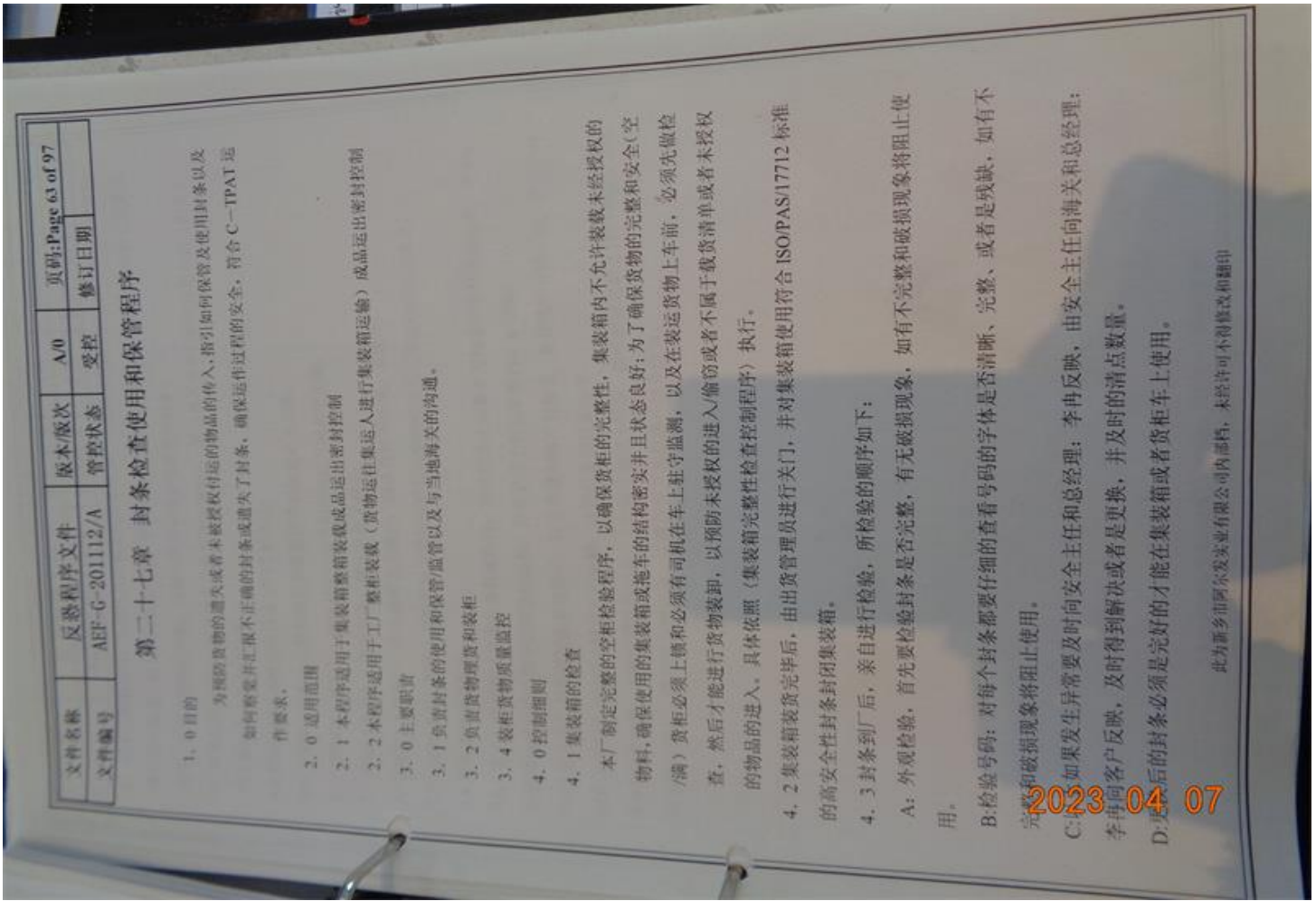
[装卸区现场.jpg](#)

Conveyances and Instruments of International Traffic - Question # 58



[Seal test report.jpg](#)

Conveyances and Instruments of International Traffic - Question # 59



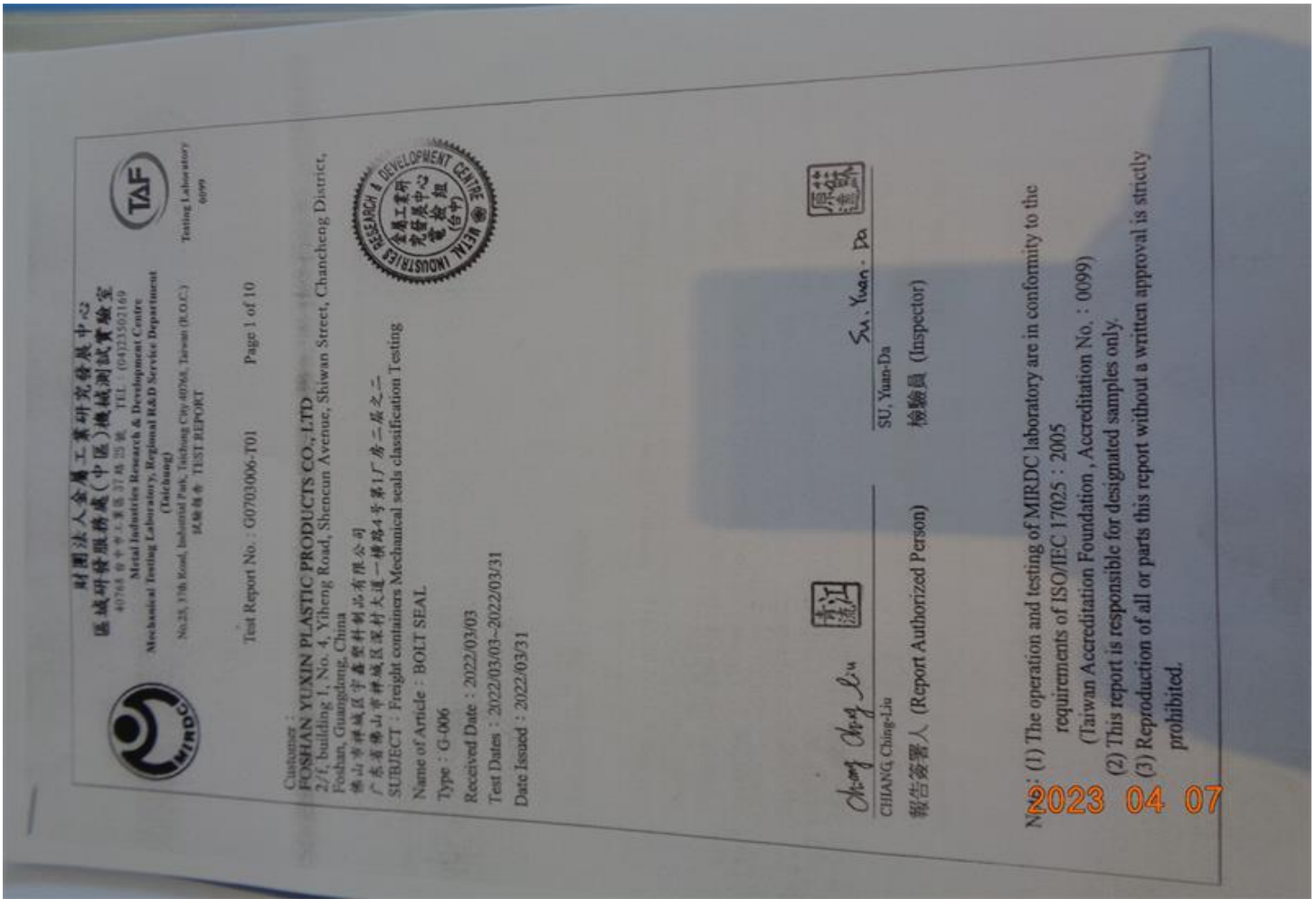
[Seal control procedure.jpg](#)

Seal Security - Question # 65



[Seals storage.jpg](#)

Seal Security - Question # 66



[Seal test report.jpg](#)

Seal Security - Question # 68



[2.jpg](#)

Seal Security - Question # 68

文件名称	反恐程序文件	版本/版次	A/0	页码:Page 68 of 102	
文件编号	AEF-G-201112/A	管控状态	受控	修订日期	

第三十章 监控设备管理程序

为了确保公司员工的生命和财产安全,公司在几个货物存放仓库安装了监控设备和在外墙的四周安装了红外线监控系统,以确保公司的产品安全,现将具体的管理程序规定如下:

- 一、 监控程序主机设在保安室。
- 二、 我司的监控设备的各探头分别设在成装卸货区品仓库、原料仓库、包装车间和工厂的大门口、通道等。
- 三、 红外线设备设置在围墙的四周,并及时检查,对检查有问题的要及时告知安全主任。
- 四、 监控记录每天由值班人员负责轮流值班 24 小时查看,并进行记录。
- 五、 在警卫查看过程中如发现有可疑人员或异常情况应立即向主管反映,再向安全主任进行报备,由上级进行处理。
- 六、 在轮流值班中要随时作好值班笔记,将查看过程中的情况全部记录。
- 七、 厂区监控系统图像实行自动保存,图像保存时间不少于 45 天。
- 八、 在交接时要进行相互交代情况。

[Dingtalk_20230419095530.jpg](#)

Seal Security - Question # 68

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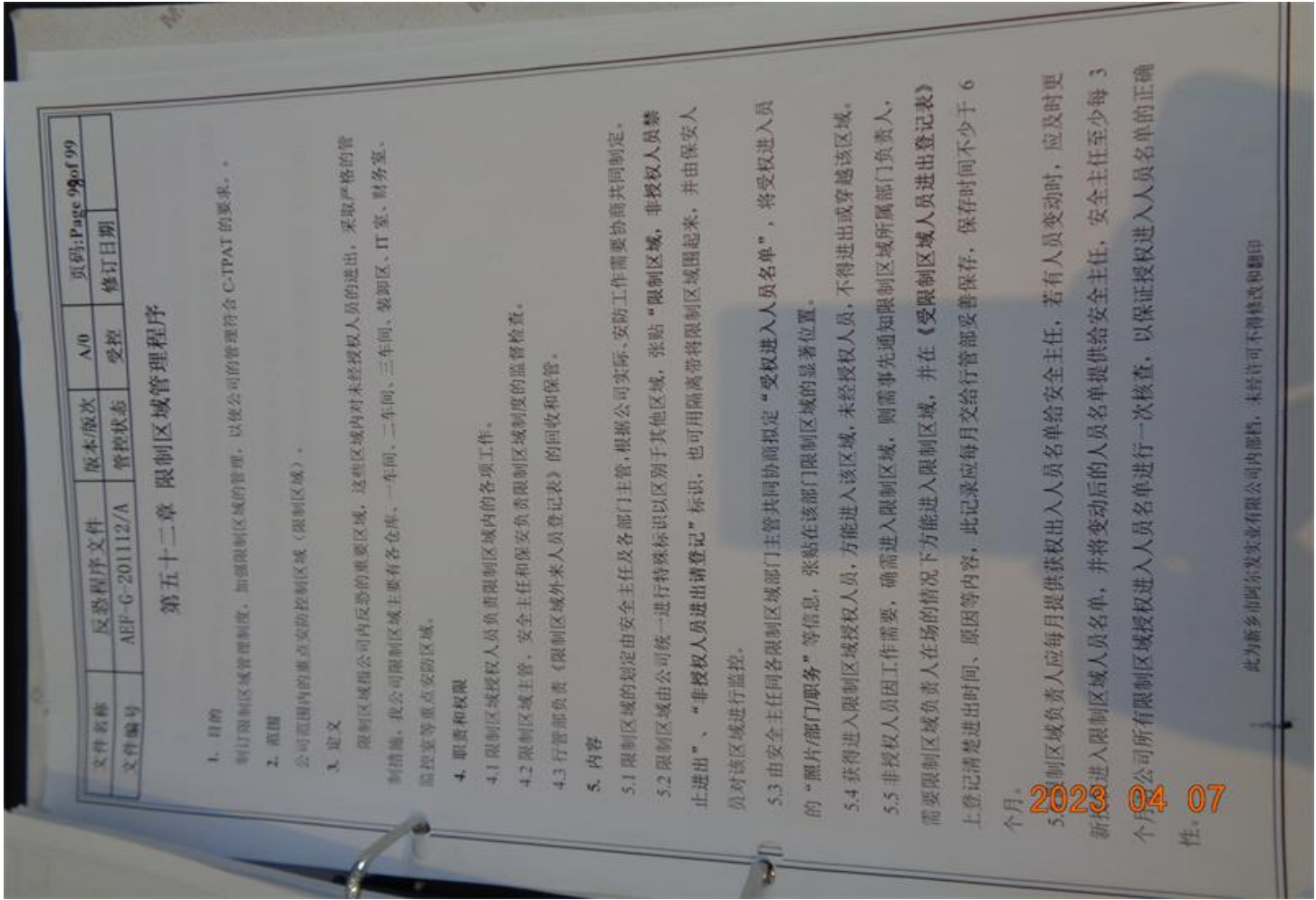
第三十章 监控设备管理程序

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- 八、 在交接时要进行相互交代情况。

[Dingtalk_20230419095530.jpg](#)

Procedural Security - Question # 70



文件名称	反恐程序文件	版本/版次	A/0	受控	修订日期
文件编号	AEF-G-201112/A	管控状态			

第五十二章 限制区域管理程序

1. 目的
制订限制区域管理制度, 加强限制区域的管理, 以便公司的管理符合 C-TPAT 的要求。

2. 范围
公司范围内的重点安防控制区域 (限制区域)。

3. 定义
限制区域指公司内部反窃的重要区域, 这些区域内对未经授权人员的进出, 采取严格的管制措施, 我公司限制区域主要有各仓库、一车间、二车间、三车间、装卸区、IT 室、财务室、监控室等重点安防区域。

4. 职责和权限
4.1 限制区域授权人员负责限制区域内的各项工作。
4.2 限制区域主管, 安全主任和保安负责限制区域制度的监督检查。
4.3 行管部负责《限制区域外来人员登记表》的回收和保管。

5. 内容
5.1 限制区域的划定由安全主任及各部門主管, 根据公司实际, 安防工作需要协商共同制定。
5.2 限制区域由公司统一进行特殊标识以区别于其他区域, 张贴“限制区域, 非授权人员禁止进出”、“非授权人员进出请登记”标识, 也可用隔离带将限制区域围起来, 并由保安人员对该区域进行监控。

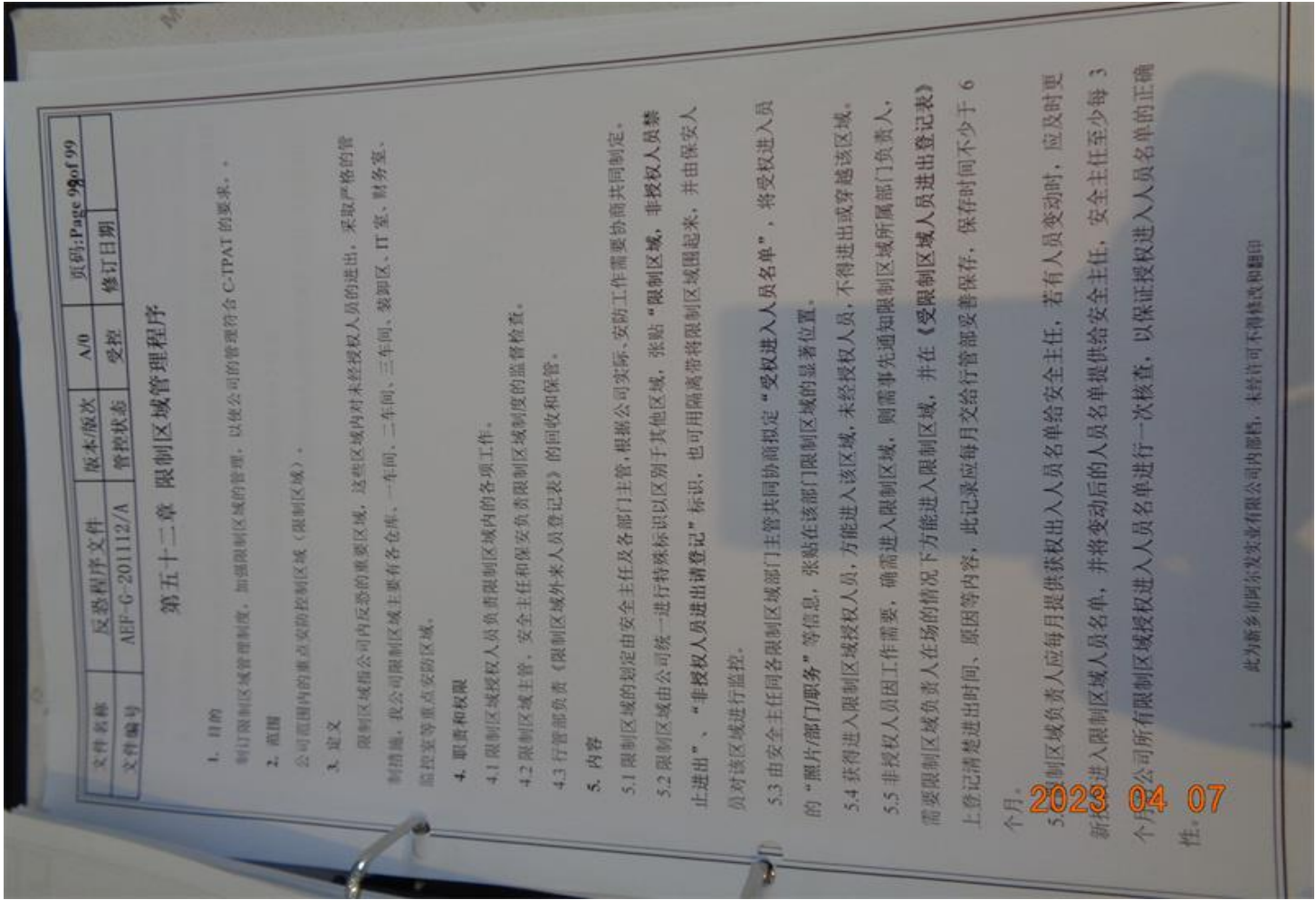
5.3 由安全主任同各限制区域部門主管共同协商拟定“授权进入人员名单”, 将授权进入人员的“照片/部门/职务”等信息, 张贴在该部門限制区域的显著位置。
5.4 获得进入限制区域授权人员, 方能进入该区域, 未经授权人员, 不得进出或穿越该区域。
5.5 非授权人员因工作需要, 确需进入限制区域, 则需事先通知限制区域所属部門负责人, 需要限制区域负责人在场的情况下方能进入限制区域, 并在《受限制区域人员进出登记表》上登记清楚进出时间、原因等内容, 此记录应每月交给行管部妥善保存, 保存时间不少于 6 个月。

5.6 限制区域负责人应每月提供授权出入人员名单给安全主任, 若有人员变动时, 应及时更新进入限制区域人员名单, 并将变动后的人员名单提供给安全主任, 安全主任至少每 3 个月对公司所有限制区域授权进入人员名单进行一次核查, 以保证授权进入人员名单的正确性。

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[Restricted area control procedure.jpg](#)

Procedural Security - Question # 71

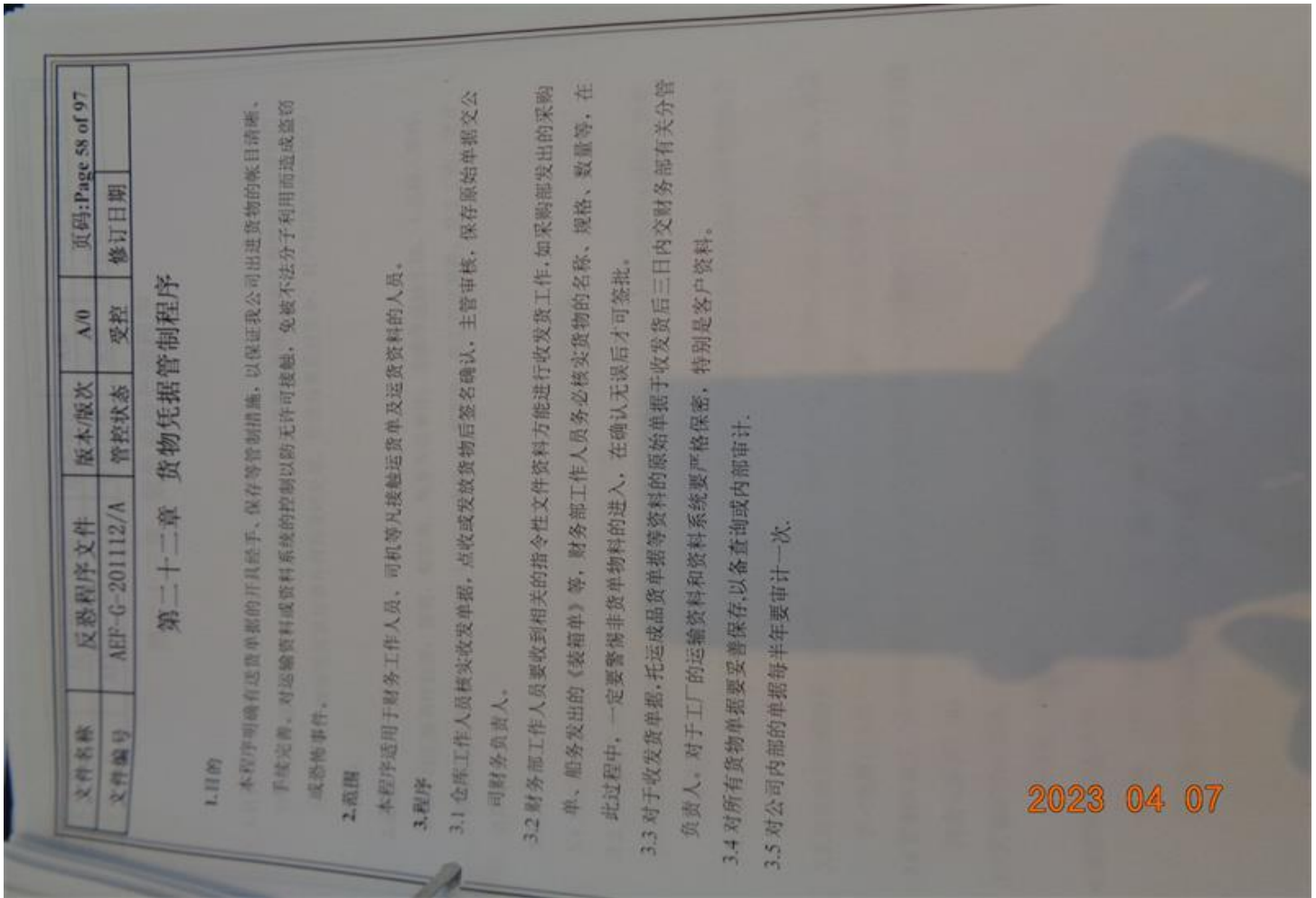


[Restricted area control procedure.jpg](#)

Procedural Security - Question # 72

[Documents security management procedure.jpg](#)

Procedural Security - Question # 75

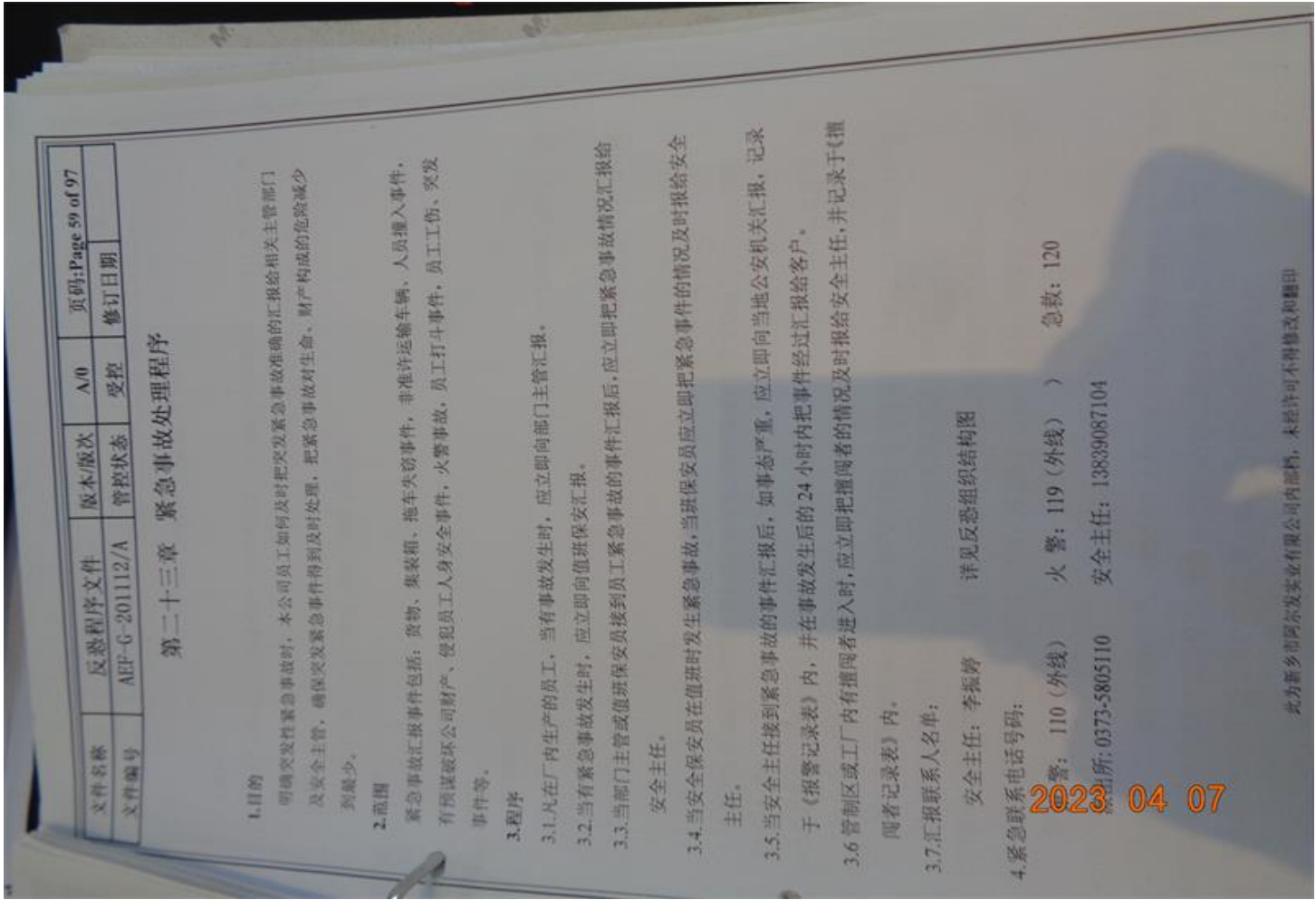


[Documents security management procedure.jpg](#)

Procedural Security - Question # 79

[Shipment security procedure.jpg](#)

Procedural Security - Question # 81



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第二十三章 紧急事故处理程序

1.目的

明确突发性紧急事故时,本公司员工如何及时把突发紧急事故准确的汇报给相关主管部门及安全主管,确保突发紧急事件得到及时处理,把紧急事故对生命、财产构成的危险减少到最少。

2.范围

紧急事故汇报事件包括:货物、集装箱、拖车失窃事件,非准许运输车辆、人员擅入事件,有预谋破坏公司财产、侵犯员工人身安全事件,火警事故,员工打斗事件,员工工伤、突发

3.程序

- 3.1.凡在厂内生产的员工,当有事故发生时,应立即向部门主管汇报。
- 3.2.当有紧急事故发生时,应立即向值班保安汇报。
- 3.3.当部门主管或值班保安员接到员工紧急事故的事件汇报后,应立即把紧急事故情况汇报给安全主任。

3.4.当安全保安员在值班时发生紧急事故,当班保安员应立即把紧急事件的情况及时汇报给安全主任。

3.5.当安全主任接到紧急事故的事件汇报后,如事态严重,应立即向当地公安机关汇报,记录于《报警记录表》内,并在事故发生后的24小时内把事件经过汇报给客户。

3.6.管制区或工厂内有擅闯者进入时,应立即把擅闯者的情况及时汇报给安全主任,并记录于《擅闯者记录表》内。

3.7.汇报联系人名单:

安全主任: 李振婷 详见反恐组织结构图

4.紧急联系电话号码:

警: 110 (外线) 火警: 119 (外线) 急救: 120
派出所: 0373-5805110 安全主任: 13839087104

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[Security accidents disposal procedure.jpg](#)

Physical Security - Question # 92



[Gate.jpg](#)

Physical Security - Question # 94



3.jpg

Physical Security - Question # 94

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文件发行修订履历表

序号	版本	修订内容	修订者	日期	批准
1	A/0	增加第五十章“反恐目标”	李振婷	2012-11-30	李俊
2	A/0	增加第五十一章“防止人口贩卖及反奴隶程序”	李振婷	2016-3-10	李俊
3	A/0	增加第五十二章“限制区域管理程序”	李振婷	2016-3-10	李俊
4	A/0	增加第五十三章“农业安全防止木屑包装材料及 集装箱有害生物污染程序”	李振婷	2020-3-31	李俊
5	A/0	第十章“网络安全程序”适用公司的网络安全	李振婷	2023-4-11	李俊

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[网络安全程序更新.jpg](#)

Physical Security - Question # 109

[Visitor badge was used.jpg](#)

Personnel Security - Question # 115

[1.jpg](#)

Personnel Security - Question # 115

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Personnel Security - Question # 115

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Security Training & Threat Awareness - Question # 118

[5.jpg](#)

Security Training & Threat Awareness - Question # 118

[1.jpg](#)

Security Training & Threat Awareness - Question # 118

[1.jpg](#)

Misc - Question # 128



[Guard station at access gate.jpg](#)