# FEI HONG FIVE METALS WARES CO., LTD.

Long Shan Industrial Estate, Qian Pu Village, Yong Ning Town, Shi Shi, Fujian, China 362700 86-595-88602628

## SCAN SUPPLY CHAIN SECURITY AUDIT (ONSITE)

| | |
|---|---|
| 报告编号 | EAC-2026-06-0350-CAPA-V3 |
| 审核已提交 | Jun 18, 2026 |
| 合规性分数 | 99% |
| 审核类型 | 外部审计 |
| 审计状态 | 审查 |
| CAPA状态 | CAPA 完成 |
| 审计到期日 | 6月 17, 2027 |

## 地点信息

**Fei Hong Five Metals Wares Co., Ltd.**

Long Shan Industrial Estate, Qian Pu Village, Yong Ning Town, Shi Shi, Fujian, China 362700 86-595-88602628

| | |
|---|---|
| 扫描ID | CNX3E06080FE |
| Point of Contact Name | Wang Rongliang |
| Point of Contact Email | becky.wu@chungjen.com.tw, wrl@feihongwujin.com, ben.wu@chungjen.com.tw |

| 联系人姓名 | 电话 | 电子邮件 |
|---|---|---|
| | | wrl@feihongwujin.com |

| | |
|---|---|
| 地点 | Fei Hong Five Metals Wares Co., Ltd. |
| 主要地点 | 是 |
| 关键位置 | 否 |
| 已分配的审核者 | QIMA |
| 安排日期 | Jun 15, 2026 |

## 审计摘要

| | 提交日期 | 合规性分数 |
|---|---|---|
| **CAPA前** | Jun 18, 2026 | 99% |
| **CAPA后** | Jun 25, 2026 | 99% |

**按类别的合规性 - 最近3次审核**

| | Jun 2026 | Jul 2024 | Jul 2023 |
|---|---|---|---|
| **Agricultural Security** | | | |
| 审计评分 | 100% | 100% | 100% |
| CAPA 合规性分数 | 100% | 100% | 100% |
| **Business Partner Requirements** | | | |
| 审计评分 | 100% | 100% | 100% |
| CAPA 合规性分数 | 100% | 100% | 100% |
| **Conveyances and Instruments of International Traffic** | | | |
| 审计评分 | 99% | 99% | 94% |
| CAPA 合规性分数 | 99% | 99% | 100% |
| **Cyber and Information Technology Security** | | | |
| 审计评分 | 99% | 98% | 88% |
| CAPA 合规性分数 | 99% | 98% | 98% |
| **General** | | | |
| 审计评分 | 100% | 100% | 41% |
| CAPA 合规性分数 | 100% | 100% | 41% |
| **Personnel Security** | | | |
| 审计评分 | 100% | 97% | 90% |
| CAPA 合规性分数 | 100% | 97% | 90% |
| **Physical Security** | | | |
| 审计评分 | 99% | 97% | 93% |
| CAPA 合规性分数 | 99% | 97% | 93% |
| **Procedural Security** | | | |
| 审计评分 | 100% | 100% | 98% |
| CAPA 合规性分数 | 100% | 100% | 100% |

| | | | |
|---|---|---|---|
| **Risk Assessment** | | | |
| 审计评分 | 100% | 77% | 77% |
| CAPA 合规性分数 | 100% | 100% | 100% |
| **Seal Security** | | | |
| 审计评分 | -NA- | 100% | 100% |
| CAPA 合规性分数 | -NA- | 100% | 100% |
| **Security Training & Threat Awareness** | | | |
| 审计评分 | 100% | 98% | 90% |
| CAPA 合规性分数 | 100% | 98% | 90% |

## CAPA 前的正确和错误回答计数

| ClassificationType | Total | CorrectResponses | | IncorrectResponses | |
|---|---|---|---|---|---|
| | | Scored | NonScored | Scored | NonScored |
| **全部的** | **132** | **130** | **1** | **1** | **0** |
| Critical | 33 | 33 | 0 | 0 | 0 |
| Material | 32 | 32 | 0 | 0 | 0 |
| Must | 66 | 65 | 0 | 1 | 0 |
| None | 1 | 0 | 1 | 0 | 0 |

## 业务概况信息

| | |
|---|---|
| 工厂是否参与任何政府、当地海关或世界海关组织 (WCO) 认可的工厂安全计划? | 否 |
| 工厂是否持有一份政府供应链安全证书? | 否 |
| 工厂是否经过该计划的审查或审计? | 是 |
| 主要的业务行业 | Manufacturer |
| 产品类型/商品 | Hardware decorations (i.e. key ring, commemorative coin, breastpin) |
| 成立年份 | 1996 |
| 场地面积（平方米） | 3489 |
| 建筑数量 | 2 |
| 所有建筑是否都包含在审计范围内？ 如果没有，请说明哪些建筑未被纳入以及原因。 | Yes |
| 工厂面积（平方米） | 7218 |
| 出入口数量？（即大门、户外门） | 1 |
| 营业时间 | For workers worked in 1 shift:08:00-12:00, 13:30-17:30.<br>For security guards, they worked in 2 shifts:08:00-20:00; 20:00-08:00. |
| 员工数量 | 101 - 500 |
| 合同工数量 | 0 |
| 内部保安数量 | 5 |
| 合同保安数量 | 0 |
| 外来工数量 | 0 |
| 年收益 | 100 万 - 500 万 |
| 该工厂是否外包任何制造服务? | 是 |

| 公司名称 | 联系人电子邮件 | 联系人电子邮件 | 百分比的时间 |
|---|---|---|---|
| Jinjiang Pubang Electroplating Co., Ltd. | Mr. Feng | Not provided | 100 |

| | |
|---|---|
| 如果外包任何生产服务，请描述外包的服务和国家/地区位置。 | Electroplating process/China |
| 该工厂向哪些国家/地区出口? | Europe, USA |
| 识别开展任何工作或存储产品的附属地点。 | No |
| 该工厂是否外包任何运输服务? | 是 |

| 公司名称 | 联系人电子邮件 | 联系人电子邮件 | 百分比的时间 |
|---|---|---|---|
| Xiamen Jinhua Freight Forwarding Co., Ltd. | Mr. Guo | Not provided | 100 |

| | |
|---|---|
| 该工厂是否与任何销售代理或供应商代表合作? | No |
| 输入营业执照上显示的此工厂的地址。 | Long Shan Industrial Estate, Qian Pu Village, Yong Ning Town, Shi Shi City, Fujian Province, China |
| 完成本次审计的审计师姓名（名字和姓氏） | Terry Xin |
| 审计师证书编号 | 303169-310941 |
| 现场工厂代表姓名（名字和姓氏）与电子邮件地址 | Wang Rongliang |
| 工厂代表邮箱地址 | wrl@feihongwujin.com |

# 审计回应

审核已分配
**May 15, 2026**

到期日
**Jun 29, 2026**

总体合规分数
**99%**

## 概述 100%

1 没有 营业执照是否与审计表上所列的该工厂名称和地址相符？ 请附上营业执照的照片。

**问题指南:** Verification of the Business License information is required. If the license does not match, please attach current scanned copy or picture of the facility's Business License. Any differences must be documented. A copy of the business license needs to be attached. When reviewing the address information and comparing to the address in the Audit Template, it is acceptable if the Audit Template address is more specific, but the main address must be similar to the address on the Business License. (i.e. if there are specific buildings referenced in the Audit Template, but the main address is the same, this would be considered a match)

- (●) 是
- ( ) 否

12-Business lice... jpg

**注释:** *未提供评论*

2 必须 是否确定了与安全事项相关的主要联络人 (POC)?

**问题指南:** A primary point of contact (POC) regarding security matters must be identified. The security point of contact can be the same or different than the primary point of contact for business issues. Provide in the comments the first and last name of the POC, their business phone or mobile phone number, and email contact information. (POC must be knowledgeable about CTPAT program requirements)

(CTPAT MSC 1.4)

- (●) 是 - 提供 POC 的姓名、电话号码和电子邮件地址
- ( ) 否

**注释:** Mr. Wang Rongliang/Administration Manager

Phone No.:+86-595-88602628

E-mail:wrl@feihongwujin.com

3 没有 准备本次审计时，审计师是否审查了之前的 SCAN 审计 CAPA 信息？

仅在此前未进行过带有已分配 CAPA 的 SCAN 审计时，选择"不适用"。

**问题指南：** Prior to conducting the SCAN Audit, review previous SCAN Audit CAPA and make note of changes implemented. Regarding previous audits and CAPAs, there is a link to a previous SCAN Audit CAPA if it is available in the Pending Activities within the system. The main POC for any of the Service Providers who have access to the system, will have access to see if there is an available SCAN Audit CAPA. It is possible that other audits were conducted. Only SCAN Audit CAPAs should be reviewed for verification. Other audits/CAPAs (not SCAN related) conducted for this facility should not be considered as part of this SCAN Audit.

- (●) 是
- ( ) 否
- ( ) N/A

**注释：** *未提供评论*

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4 没有 在当前审计期间，是否发现所有之前的 SCAN 审计 CAPA 信息都已按照所提供的 SCAN 审计 CAPA 指示得到妥善解决/缓解？

**问题指南：** During the SCAN Audit, review prior SCAN Audit CAPA information to determine if the details provided were implemented at the facility as stated.

Answer "Yes" if SCAN Audit CAPA information/updates have been implemented.

Answer "No" if SCAN Audit CAPA information/updates have not been implemented. *Intention is to call out any remediation efforts that were to have been implemented prior to this current audit*

New criteria should not impact previous SCAN Audit CAPAs assigned when reviewing to see if compliant. Any new non-conformances should be addressed during the current audit being conducted.

- ( ) 是
- (●) 否 - 请标出任何被认定未妥善解决/缓解的漏洞

**注释：** The factory did not appropriately address/mitigate all noncompliance found in previous audit. For example, CCTV camera was installed at the loading area, but could not capture the inside of trailer/container.

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5 危急 最近（过去 12 个月内）是否在被审计地点完成了所附 SCAN 工厂和供应商培训在线培训模块？

**问题指南:** Ask leadership if they participated in this training within the last 12 months. If yes, obtain and upload a copy of the provided certificate and list how many employees participated along with their job positions/work areas.

- ◉ 是 - 请附上培训证书的照片
- ○ 否

21-SCAN trainin...jpg

**注释:** Mr. Wang Rongliang/Administration Manager had participated in the free SCAN factory and supplier training on May 26, 2026. Related certificate had been provided for review.

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6 材料 在过去 24 个月内，是否在该地点完成了针对工厂雇佣实践的社会合规或负责任采购审计?

**问题指南:** Auditor may only view (not retain) a copy of the facility's audit report and notate the following information: Audit date and Audit score / rating.

*Do not upload any images or attachments

(CTPAT MSC 3.9)

- ◉ 是 - 请提供审计日期和审计分数/评级
- ○ 否 -- 审核报告存档已超过24个月
- ○ 从未进行/没有存档记录

**注释:** Recent Social audit was conducted on 03-Nov-2025, with Rating C.

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7 材料 工厂是否有记录在案的社会合规计划?

**问题指南:** A social compliance program is a set of policies and practices through which a company seeks to ensure maximum adherence to the elements of its code of conduct that cover social and labor issues. Social compliance refers to how a business addresses its responsibilities in protecting the environment, as well as the health, safety, and rights of its employees, the communities in which they operate, and the lives and communities of workers along their supply chains.

(CTPAT MSC 3.9)

- ◉ 是
- ○ 否

**注释:** The facility had established the documented social compliance program.

## 风险评估 100%

8 必须 工厂是否对其供应链进行风险评估并进行记录？该评估应包含政策和程序遵从性相关的安全漏洞，以及识别任何潜在的地理威胁。

**问题指南：** Facility must have a risk assessment that identifies and addresses any vulnerabilities in their supply chain/processes. It must include facility's own security practices, any business partner(s)/supplier(s) vetting and security practices, and all the vulnerabilities that may create issues/challenges that could prevent completion of business contracts. Examples of risks include labor shortages, weather concerns such as frequent typhoons, unreliable utilities, and criminal or terrorist activity, etc. Auditor to review the risk assessment and/or a business continuity plan. (CTPAT MSC 2.1)

- [x] 是 - 已审阅完整的风险评估示例
- [ ] 否 - 无法提供示例/未进行风险评估

**注释：** *未提供评论*

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9 必须 是否将工厂风险评估分享给业务合作伙伴和承包商?

**问题指南：** Facility must share risk assessment with business partners and contractors. Sharing risk assessments allows business partners to know and improve upon vulnerabilities, and enhances business continuity. Auditor to request a list of primary vendors and suppliers that should be provided a copy of the facility risk assessment and whom should be consulted on developing a risk assessment/business continuity plan.

- [x] 是
- [ ] 否 - 评估结果不予共享
- [ ] 未进行风险评估

**注释：** *未提供评论*

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10 材料 工厂风险评估是否包括承包商、季节性员工、服务提供商等特定群体具有的漏洞?

**问题指南：** Risk Assessments should capture any risks associated with business partners, contractors, and any lessons learned from incidents, business disruptions, etc. Auditor to review the risk assessment to determine if critical business partner's vulnerabilities are included. This is a best practice and is encouraged.
(CTPAT MSC 2.2)

- [x] 是
- [ ] 否 - 未包含特定漏洞

- ○ 未进行风险评估

**注释:** *未提供评论*

11 必须 是否定期更新工厂风险评估?

**问题指南:** The risk assessment must be documented and updated every year, at a minimum, or more frequently as risks dictate. Auditor to review the date of creation or last review/update that should appear on the risk assessment/business continuity document. Auditor should question factory management on what would trigger an update.

(CTPAT MSC 2.3)

- ◉ 上次更新在过去 12 个月内
- ○ 上次更新在 12 个月到 18 个月之间
- ○ 上次更新在 18 个月到 24 个月之间
- ○ 未记录有更新或上次更新已在 24 个月之前
- ○ 未进行风险评估

**注释:** *未提供评论*

12 材料 工厂是否已实施货物运输管理流程? (选择所有适用项)

仅在货物运输并非由该工厂管理或协助时，选择"不适用"。

**问题指南:** Facilities should include cargo maps in their risk assessment to document the movement of all cargo associated with the facility. Besides identifying risks, the cargo map should serve to find areas where a supply chain is at risk. Cargo mapping should include how cargo moves in and out of the facility and note when/if cargo is "at rest". Auditor to review document that highlights the cargo map and includes points of transfer, transit times and potential points where freight may be at rest, thus at risk. This is a best practice and is encouraged. NA is only to be used if the facility does not manage any of the cargo movement activities. Please explain in the comments.

(CTPAT MSC 2.2)

- ☑ 记录在案的货运流程可用
- ☑ 货运流程包括从始发地到最终国际运输工具 (IIT) 堆场的运输时间
- ☑ 货运流程包括货物可能处于静止状态的位置
- ☑ 已实施的货运流程图可供审阅

- [ ] 记录在案的货运管理流程不可用
- [ ] N/A

**注释:** *未提供评论*

13 材料 制定工厂的危机计划。（选择所有适用项）

**问题指南:** Otherwise known as a business continuity plan. A crisis can be a disruption of the movement of trade data due to a cyber attack, a fire or a carrier driver being hijacked. Based on your risk, a crisis plan should include any additional security measures that are taken when a crisis happens. This should include how you communicate a crisis to business partners and importers. This is a best practice and is encouraged. Auditor to review the facility's crisis plan and ensure it includes: types of crises and how the facility would respond, communication to business partners of crisis related issues, and potential alternative locations if facility is rendered unusable.

(CTPAT MSC 2.4)

- [x] 有文件化的危机计划
- [x] 危机计划包括必要时向业务合作伙伴报告危机相关问题
- [x] 危机计划包括工厂无法使用时的替代地点
- [ ] 没有文件化的危机计划

**注释:** *未提供评论*

14 材料 为确保稳健的供应链安全计划，工厂是否已将所有相关部门的代表纳入跨职能团队？

**问题指南:** Examples of departments that should be included: representatives from Human Resources, Information Technology, Import/Export offices, Shipping, receiving, warehouse, security operations and senior leadership.

(CTPAT MSC 1.2)

- (●) 是
- ( ) 否

**注释:** The facility had incorporated the representatives from all of the relevant departments, such as HR, IT, Import and Export, Warehousing, Safety and Operations departments etc.

## 商业合作伙伴要求 100%

15 没有 工厂是否签约使用承包商提供的安保、运输或制造劳务等服务？

**问题指南:** (CTPAT MSC 3.5)

- [x] 是
- [ ] 否

**注释:** *未提供评论*

16 必须 工厂是否审查并向业务合作伙伴（特别是为国际供应链活动提供支持的合作伙伴）提供安全标准的副本?

**问题指南:** Copies of security criteria must be reviewed and provided to business partners and must clearly state what actions are acceptable and unacceptable regarding the production and transportation of goods. Proof of review (date, time, name(s), business partner type, topics reviewed) should be maintained by the facility. Auditor to question the facility staff to understand how these requirements are communicated and shared with business partners involved in the international supply chain. In addition, in the situation that the country has its own language along with English as the business language, and all documentations are in English, the auditor should also verify during the audit if the facility staff can understand English or not, then provide a proper selection for this question.

- [x] 是 - 以本地语言审核和提供的安全标准
- [ ] 是 - 安全标准已审查并仅提供英文版
- [ ] 是 - 安全标准已审查，但未提供给业务合作伙伴
- [ ] 否 - 安全标准未被所有供应商伙伴审查

**注释:** *未提供评论*

17 必须 工厂是否有用于遴择业务合作伙伴（包括材料供应商、制造商和物流服务提供商）的记录在案的程序? （选择所有适用项）

**问题指南:** Facilities must have a documented, risk-based process on how new business partners are selected and current business partners are screened annually. The process must include detailed screening criteria, including: preventing money laundering and terrorism funding, financial stability, security training, verifying company’s business address and length of time at address. The policy must be shown to the auditor. Auditor to determine if the screening and selection process includes verifying the business profile, financial status, ability to accomplish the requirement of the proposed business, and standards for employee hiring and security training. Examples of business partners that need to be screened are direct business partners

such as manufacturers, suppliers, service providers, and logistics providers. How in-depth to make the screening depends on the level of risk in the supply chain.
(CTPAT MSC 3.1, 3.4)

- [x] 有文件化的筛选流程
- [x] 筛选流程每年进行一次
- [x] 筛选流程包括寻找洗钱和资助恐怖主义的证据
- [x] 筛选流程包括对财务稳定性的监督
- [x] 筛查过程核查CTPAT/AEO认证状态
- [ ] 筛选程序执行尚未发生

**注释:** *未提供评论*

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18 必须 是否要求工厂的签约业务合作伙伴对其运营进行年度安全风险评估?

**问题指南:** Contracted partners must conduct their own security risk assessment annually and provide their results to the facility. Facility should be able to provide proof of annual assessment received from business partners. Auditor to review a business partner contract and determine if an annual risk assessment is required and completed.
(CTPAT MSC 2.3, 3.5, 3.7)

- (●) Yes-每年
- ( ) 是 - 每 2 年
- ( ) 是 - 仅在合同生效时
- ( ) 否

**注释:** *未提供评论*

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19 必须 工厂是否要求业务合作伙伴提供一份经签署的合规声明，或填写一份强调已落实海关-商贸反恐伙伴计划 (CTPAT) 最低安全要求的调查问卷？ 声明或调查问卷是否每年更新？ （选择所有适用项）

**问题指南:** Facilities that outsource services must assess their business partners’ security practices annually, using either a security questionnaire or a signed compliance statement aligned with the facility’s risk assessment. As part of this evaluation, the auditor should request to see a signed agreement between the facility and its business partners confirming their commitment to meet or exceed the facility’s security requirements. Alternatively, a spreadsheet documenting business partner acknowledgments is also acceptable evidence. Regularly reviewing these security assessments is essential to confirm that each business partner maintains an effective security program. Without periodic updates, the facility may remain unaware of any deterioration in a partner’s security practices—potentially exposing the supply chain to increased risk.

(CTPAT MSC 3.5, 3.7)

- [x] 要求提供已签订的合规声明和/或安全调查问卷
- [x] 每年更新一次
- [ ] 否 - 无可用/无要求

**注释:** *未提供评论*

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20 必须 若调查问卷已提供，且在调查问卷中发现不合规领域，工厂是否要求业务合作伙伴制定纠正措施计划，并提供实施行动的证明?

如果使用经签署的合规声明代替调查问卷，则选择“不适用”。

**问题指南:** If the facility uses a security questionnaire to evaluate business partners and identifies areas of non-compliance, it must require the submission of corrective action plans (CAPs) from those partners. These CAPs must include evidence of implementation along with completion dates.

- The facility must also maintain a documented process outlining how these questionnaires are:
- Reviewed for completeness and accuracy
- Validated against the facility’s minimum security requirements
- Recorded and stored for reference and audit purposes

Auditors should engage with management to understand how CAPs are monitored and verified to ensure that all required security standards are met and maintained.

(CTPAT MSC 3.6)

- (●) 是
- ( ) 否
- ( ) N/A

**注释:** *未提供评论*

## 网络和信息技术安全 99%

21 没有 该工厂是否联网并部署计算机网络系统?

- (●) 是
- ( ) 否

**注释:** *未提供评论*

22 必须 工厂是否拥有涵盖全面网络安全/信息安全计划所有必要领域的记录在案的政策和程序手册?

记录在案的 IT 政策必须至少涵盖本网络和信息技术安全审计部分中的所有个人网络安全标准。

**问题指南:** Facilities are required to maintain comprehensive, documented cybersecurity policies and procedures that protect their IT systems. These policies must, at a minimum, address all individual cybersecurity criteria outlined in this audit section. It is strongly recommended that facilities align their cybersecurity practices with recognized industry frameworks—such as those provided by the National Institute of Standards and Technology (NIST). NIST's guidance supports organizations in managing and reducing cybersecurity risks and can complement an existing risk management program. For facilities without an existing cybersecurity framework, the NIST Framework serves as a reliable foundation for developing one.

(CTPAT MSC 4.1)

- (●) 所有区域均已记录在案
- ( ) 1 个区域缺失
- ( ) 2-3 个区域缺失
- ( ) 3 个以上区域缺失
- ( ) 目前尚未制定任何记录在案的政策或程序

**注释:** *未提供评论*

23 必须 工厂是否有记录在案的网络安全政策来保护信息技术系统，且该政策每年接受审查和更新?

**问题指南:** Facilities must have a comprehensive, documented cybersecurity policy that lists steps to protect IT systems, and identify and resolve threats. Policy must be reviewed and updated annually at a minimum. Cybersecurity policies and procedures must be reviewed annually, or more frequently, as risk or circumstances dictate. Following the review, policies and procedures must be updated if necessary.

(CTPAT MSC 4.2, 4.6)

- (●) 政策已记录在案，并在过去 12 个月内更新
- ( ) 政策已记录在案，并在过去 12-18 个月内更新
- ( ) 政策已记录在案，但上次更新距今超过 18 个月
- ( ) 记录在案的政策不可用

**注释：** *未提供评论*

24 必须 工厂是否安装有防火墙和防恶意软件来识别、保护、检测、响应和恢复其网络？（选择所有适用项）

**问题指南：** Protection must include use and management of firewall and malware software. To defend Information Technology (IT) systems against common cybersecurity threats, the facility must install sufficient software/hardware protection from malware (viruses, spyware, worms, Trojans, etc.) and internal/external intrusion (firewalls) in facility's computer systems. This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.2)

- [x] 已部署防火墙
- [x] 已安装防恶意软件
- [ ] 未部署防火墙或防恶意软件

**注释：** *未提供评论*

25 必须 防火墙和防恶意软件的更新频率如何？

**问题指南：** In order to maintain your firewall and malware, it is important to update your software when enhancements are made by the providers. Factories must ensure that their security software is current and receives regular security updates. This must be addressed in the question above that references the documented policy and procedure documentation collection. Note: it is not necessary to share exact dates of updates.

(CTPAT MSC 4.2)

- (●) Software Updates are automatically deployed from the software providers
- ( ) 视需要由现场 IT 服务人员手动安装更新
- ( ) 未执行更新
- ( ) 未部署防火墙或防恶意软件

**注释：** *未提供评论*

26 必须 工厂是否制定了预防社会工程学攻击的记录在案的程序？

**问题指南：** This must be addressed in the question above that references the documented policy and procedure documentation collection.  Definition of social engineering is the use of deception to manipulate individuals into divulging confidential or personal information that may be used for fraudulent purposes.

(CTPAT MSC 4.2)

- [x] 是
- [ ] 否

**注释:** *未提供评论*

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27 必须 如果发生数据泄露或其他不可预见事件导致数据和/或设备丢失，工厂是否制定了包含 IT 系统和/或数据恢复（或更换）的程序?

**问题指南:** This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.2)

- [x] 是
- [ ] 否

**注释:** *未提供评论*

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28 必须 是否至少每年进行一次测试场景，以识别会造成内部网络访问漏洞的开放端口和 IP 地址?

**问题指南:** IT infrastructure must be tested regularly to identify vulnerabilities to a facility's internal network. A documented IT process should include which personnel should be conducting these tests as well as frequency. This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.3)

- [x] IT 人员每年至少进行一次漏洞测试
- [ ] 不执行漏洞测试

**注释:** *未提供评论*

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29 必须 在测试防火墙、恶意软件和其他网络漏洞时发现问题后，是否采取了纠正措施? 请说明将如何解决这些问题。

**问题指南:** The IT procedure should communicate what to do when problems are identified. A secure computer network is of paramount importance to a business, and ensuring that it is protected requires testing on a regular basis. This can be done by scheduling vulnerability scans. Just like a security guard checks for open doors and windows at a business, a vulnerability scan (VS) identifies openings on your computers (open ports and IP addresses), their operating systems, and software through which a hacker could gain access to the

company's IT system. The frequency of the testing will depend on various factors including the company's business model and level of risk. This must be addressed in the question above that references the documented policy and procedure documentation collection.
(CTPAT MSC 4.3)

- [x] 是
- [ ] 否
- [ ] 不执行漏洞测试

**注释:** The factory performs vulnerability tests with records maintained. Factory will take some actions such as disconnecting the network, isolation, back up data, windows setting, windows reset, scanning and/or update firewall, once problems were identified during testing.

30 材料 工厂向谁报告网络安全威胁和未经批准的网络系统访问尝试？（选择所有适用项）

**问题指南:** Employees must know how to identify and report cybersecurity incidents, including: What to report, Who to report an incident to, How to report, and How to resolve an incident, if applicable. External business partners includes customers, suppliers, logistics, etc. This is a best practice and is encouraged that this should be addressed in the question above that references the documented policy and procedure documentation collection. Factories are encouraged to share information on cybersecurity threats with the government and business partners within their supply chain.
(CTPAT MSC 4.4)

- [x] 高级管理层
- [x] 内部业务合作伙伴
- [x] 外部业务合作伙伴
- [x] government agencies
- [ ] 未制定报告流程和程序

**注释:** *未提供评论*

31 必须 是否有自动化系统来监控和防止未经授权的访问和篡改系统和/或电子数据？

**问题指南:** An organization typically uses an Intrusion Detection System (IDS) and an Intrusion Prevention System (IPS) to identify unauthorized access to IT systems and data. This must be addressed in the question above that references the documented policy and procedure documentation collection.
(CTPAT MSC 4.5)

◉ 是
○ 否

**注释:** *未提供评论*

32 必须 是否对任何违反 IT 系统政策和程序的违规人员采取了纪律处分?

**问题指南:** This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.5)

◉ 是
○ 否

**注释:** The facility takes the disciplinary actions against the personnel who violated the IT system policies and procedures.

33 必须 管理层是否定期审查具有网络访问权限的用户，以便限制其仅访问那些执行当前工作要求所必需的应用程序?

**问题指南:** Management must review employee access on a regular basis to ensure access to sensitive systems is based on job requirements. Computer and network access must be removed upon employee separation. This process must be documented with a defined frequency for management reviews. This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.7)

◉ 每月进行一次管理审查
○ 每季度进行一次管理审查
○ 每年进行一次管理审查
○ 未进行管理审查

**注释:** *未提供评论*

34 必须 是否有记录在案的程序来取消那些被解雇或休长假的员工的网络访问权限?

**问题指南:** Documented procedures must be in place that include when and how to remove network access for employees who are terminated or on leave for an extended period of time. Procedures should include when to grant access back to employees who come back from extended leave and/or suspension. Procedures should state how and who to notify to grant access. This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.7)

- (●) 是，记录在案的流程包括长期休假以及离职员工访问权限的撤销
- ( ) 是，记录在案的流程可用，但不包括长期休假员工访问权限的撤销，仅涉及离职员工访问权限的撤销
- ( ) 在审计期间，没有用于撤销离职员工网络访问权限的记录在案的流程

**注释:** *未提供评论*

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35 必须 工厂如何管理对计算机的访问?

**问题指南:** To guard IT systems against infiltration, user access must be safeguarded by going through an authentication process. Complex login passwords or passphrases, biometric technologies, and electronic ID cards are three different types of authentication processes. Processes that use more than one measure are preferred. These are referred to as two-factor authentication (2FA) or multi-factor authentication (MFA). MFA is the most secure because it requires a user to present two or more pieces of evidence (credentials) to authenticate the person's identity during the log-on process. This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.8)

- (●) 密码和/或口令
- ( ) 生物识别技术
- ( ) 电子身份证
- ( ) 多因素身份验证 (MFA)
- ( ) 无需凭证

**注释:** *未提供评论*

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36 必须 若采用密码或口令，是否确保其具备足够复杂度并定期更改？（选择所有适用项）

如果尚未采用密码或口令，则选择“不适用”。

**问题指南:** Access to IT systems must be protected from infiltration via the use of strong passwords, passphrases, or other forms of authentication, and user access to IT systems must be safeguarded. Passwords and/or passphrases must be changed as soon as possible if there is evidence of compromise or reasonable suspicion of a compromise exists. This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.8)

- [x] 必须采用复杂密码
- [x] 定期更改密码
- [ ] 无需采用复杂密码或定期更改密码
- [ ] N/A

**注释:** *未提供评论*

37 必须 计算机终端是否按员工配置专有账户?

**问题指南:** Individuals with access to Information Technology (IT) systems must use individually assigned accounts. This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.8)

- (●) 是
- ( ) 否

**注释:** *未提供评论*

38 必须 如果员工和/或承包商得到允许以远程访问信息技术 (IT) 系统，是否使用虚拟专用网 (VPN) 或类似软件来控制访问?

**问题指南:** Facilities that allow their users to remotely connect to a network must employ secure technologies, such as virtual private networks (VPNs), to allow employees to access the company's intranet securely when located outside of the office. Facilities must also have procedures designed to prevent remote access from unauthorized users. VPNs are not the only choice to protect remote access to a network. Multifactor authentication (MFA) is another method. An example of a multi-factor authentication would be a token with a dynamic security code that the employee must type in to access the network. This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.9)

- ( ) 允许远程访问，并使用 VPN 或类似软件
- ( ) 允许远程访问，但没有 VPN 或类似软件用于控制访问
- (●) 不允许远程访问

**注释:** *未提供评论*

39 必须 是否所有网络安全政策都适用于接入网络的个人设备?

**问题指南:** All personal devices must adhere to the facility's cybersecurity policies and procedures to include regular security updates and a method to securely access the company's network. This must be documented in the facility's procedure. If Facilities allow employees to use personal devices to conduct company work, all such devices must adhere to the company's cybersecurity policies and procedures to include regular security updates and a method to securely access the company's network. Personal devices include storage media like CDs, DVDs, and USB flash drives. Care must be taken if employees are allowed to connect their personal media to individual systems since these data storage devices may be infected with malware that could propagate using the company's network. This must be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.10)

- (●) 所有安全政策均适用于个人设备，工厂不允许个人设备在未使用 VPN 或类似软件的情况下连接到网络
- ( ) 工厂不允许使用任何个人设备接入网络
- ( ) 所有安全政策均适用于个人设备，但不需要使用 VPN 或类似软件
- ( ) 安全政策不适用于个人设备，个人设备可接入工厂网络

**注释:** *未提供评论*

40 材料 IT 安保部门是否对下载软件和访问外部网站进行限制和监控?

**问题指南:** This is a best practice and is encouraged that the IT policy includes measures to prevent the use of counterfeit technology products and how to limit access to non-internal sites. The facility may want to have a policy that requires product key labels and certificates of authenticity to be kept when new media is purchased. CDs, DVDs, and USB media include holographic security features to help ensure you receive authentic products and to protect against counterfeiting. This is a best practice and is encouraged that this should be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.11)

- (●) 是
- ( ) 否

**注释:** *未提供评论*

41 材料 该工厂备份数据的频率如何?

**问题指南:** Data backups should take place as data loss may affect individuals within an organization differently. Daily backups are also recommended in case production or shared servers are compromised/lose data. Individual systems may require less frequent backups, depending on what type of information is involved. This is a best practice and is encouraged that this should be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.12)

- ○ 每日备份数据
- ○ 每周备份数据
- ◉ 每月备份数据
- ○ 未执行数据备份

**注释:** *未提供评论*

42 材料 数据备份是否存储在异地并加密? (选择所有适用项)

**问题指南:** Media used to store backups should preferably be stored at a facility offsite. Devices used for backing up data should not be on the same network as the one used for production work. Backing up data to a cloud is acceptable as an "offsite" facility. IT policy should include where data backup is located. This is a best practice and auditor should ask facility to provide proof of data backup storage location and encryption to confirm implementation. The data backup can be stored in a physical site outside of the facility, or in a cloud storage platform whose server is outside of the facility. This is a best practice and is encouraged that this should be addressed in the question above that references the documented policy and procedure documentation collection.

(CTPAT MSC 4.12)

- [x] 数据备份存储在场外
- [x] 数据备份已加密
- [ ] 数据未存储在场外, 也未加密
- [ ] 未执行数据备份

**注释:** *未提供评论*

43 必须 是否制定了将计划处置的设备退回 IT 部门的记录在案的程序?

**问题指南:** IT policy must include addressing all IT equipment being returned back to the IT department for proper disposal and documentation as required. This must be addressed in the question above that references the documented policy and procedure documentation collection. (CTPAT MSC 4.13)

- ◉ 是
- ○ 否

**注释:** *未提供评论*

44 必须 是否制定了根据适当行业指南对 IT 设备进行妥善清理或销毁的流程?

**问题指南:** All media, hardware, or other IT equipment that contains sensitive information regarding the import/export process must be accounted for through regular inventories. When disposed, they must be properly sanitized and/or destroyed in accordance with the National Institute of Standards and Technology (NIST) Guidelines for Media Sanitization or other appropriate industry guidelines. This must be addressed in the question above that references the documented policy and procedure documentation collection.
(CTPAT MSC 4.13)

- ◉ 是
- ○ 否

**注释:** *未提供评论*

## 国际交通运输及工具 99%

45 没有 工厂是否用国际运输工具 (IIT) 装载?

**问题指南:** Instruments of International Traffic (IIT) – IIT includes containers, trailers, flatbeds, unit load devices (ULDs), lift vans, cargo vans, shipping tanks, bins, skids, pallets, caul boards, cores for textile fabrics, or other specialized containers arriving (loaded or empty), in use or to be used in the shipment of merchandise in international trade.  If the unit of transport is destined to a domestic CFS (Container Freight Station) location from this location's facility, the answer to this question should be "Yes" as it then would be considered an IIT.

- ◉ 是
- ○ 否

**注释:** *未提供评论*

46 危急 在工厂的控制范围内或运输途中，是否以安全的方式存放 IIT（无论位于现场或场外）？（选择所有适用项）请附上各个适用区域的照片。

**问题指南:** While in the facility's control, Instruments of International Traffic (IIT) must be stored in a designated, secured area regardless if the area is on- or off-site. The area must only be for empty and/or full IIT; no other vehicle parking or other storage allowed. All loaded IIT stored for any period of time must be closed and secured with a seal that meets requirements outlined in the seal security section. Multiple ways to secure the area are acceptable, such as perimeter fencing, gates, CCTV, perimeter alarms, lighting, security guards patrolling 24 hours x 7 days, etc. Other methods can be accepted if it is confirmed workable, factory should explain in details how IIT are secured. (Perimeter alarms are exterior perimeters of property, while anti intrusion alarms are for interior buildings) A documented procedure must indicate how the facility will follow requirements. Auditor should question personnel regarding how IIT are monitored during storage.

(CTPAT MSC 5.1, 7.1, 9.5)

- [x] IIT 存放区既没有停放个人车辆，也没有存放任何其他物品
- [x] IIT 存放区受到保护和/或监控（请说明）
- [x] 储存、装载的 IIT 均加贴封条予以封存
- [x] 在工厂控制期间保障 IIT 安全的记录在案的程序可用
- [ ] IIT 存放不符合最低安全要求（请说明）

152-Loading area.jpg

**注释:** The facility had established the documented securing IIT procedure. The IIT storage area is free from personal vehicle parking and storage areas, also secured and monitored by the CCTV system and security guards. In addition, all the loaded IIT were secured with a seal.

47 危急 您是否能够通过闭路电视录像监督正在进行的 IIT 检查或之前完成的 IIT 检查?

**问题指南:** Prior to arrival at the audit site, advise the factory to be prepared to have the auditor observe an Instruments of International Traffic (IIT) loading live or plan to provide CCTV recording of a previously loaded IIT.

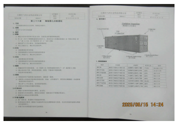
- (•) 是
- ( ) 否

**注释:** The facility provided all previously completed IIT inspection via CCTV recordings.

48 危急 是否制定了记录在案的程序，用于在 IIT 装载前检查其安全完整性，且包括所有最低要求?

**问题指南：** Review the policy that covers how Instruments of International Traffic (IIT) integrity is determined. Please attach a picture or a scanned copy of page one. Procedure must include a process to refuse to load damaged or dirty IIT. The type of inspection depends on the type of cargo movement (cross-border on land, or ocean/air modes). It must include at a minimum: refusal of damaged/dirty IIT; inspection checklist that records size of IIT, IIT number, name of person conducting inspection, time and date of inspection, and condition of the floor, roof, inside/outside walls, undercarriage; inspection for pest contamination (e.g. eggs, nests, dirt, seeds); tools utilized for inspections; who is responsible for inspections; and training responsible employees on inspections.
(CTPAT MSC 5.2)

- (●) 是 - 请附上第 1 页的图像
- ( ) 未制定记录在案的程序
- ( ) 记录在案的程序仅包含指南中所示的部分要求



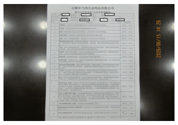
159-Security int... jpg

**注释：** *未提供评论*

49 危急 装载前对 IIT 进行的记录在案的检查是否包括所有最低要求领域？ （选择所有适用项）

**问题指南：** Security and agricultural inspections are conducted on Instruments of International Traffic (IIT) and conveyances to ensure their structures have not been modified to conceal contraband or have been contaminated with visible agricultural pests. An inspection checklist that records the size of IIT, IIT number, name of person conducting inspection, time and date of inspection, condition of the following: floor, roof, inside/outside walls, undercarriage, Inspection for pest contamination (e.g. eggs, nests, dirt, seeds) must be used. Pest contamination includes visible forms of animals, insects or other invertebrates, or any organic material of animal origin; viable or non-viable plants or plant products ; or other organic material, including fungi; or soil, or water; where such products are not the manifested cargo. The checklist can be either paper or electronic; however, proof of checklist usage and completion must be provided upon request.
(CTPAT MSC 5.3, 5.5)

- [x] 使用检查表 (请上传检查表照片附件)
- [x] IIT 尺寸
- [x] IIT 编号
- [x] 检查人员姓名
- [x] 检查的日期和时间



162-Container i... jpg

- [x] IIT 的地板和顶部完好无损，无孔洞或泄漏
- [x] 内/外墙体，底盘无损坏
- [x] 包括对入侵物种（例如蛋、巢、污垢、种子）的检查
- [x] 主管签名
- [ ] 未完成检查或未记录检查

**注释:** *未提供评论*

50 必须 记录在案的检查流程是否包括检查 IIT 的外部硬件，以确保其具备充分的防拆卸能力?

**问题指南:** Conveyances and Instruments of International Traffic (IIT)(as appropriate) must be equipped with external hardware that can reasonably withstand attempts to remove it. The door, handles, rods, hasps, rivets, brackets, and all other parts of a IIT's locking mechanism must be fully inspected to detect tampering and any hardware inconsistencies prior to the attachment of any sealing device. Consider using IIT with tamper resistant hinges. Members may also place protective plates or pins on at least two of the hinges of the doors and/or place adhesive seal/tape over at least one hinge on each side.

(CTPAT MSC 5.4)

- (●) 是
- ( ) 否

**注释:** *未提供评论*

51 材料 IIT 装载过程中是否拍摄了照片和/或闭路电视录像? （选择所有适用项）

**问题指南:** This is a best practice and is encouraged that CCTV or photos be available of the Instruments of International Traffic (IIT) loading process. Images must include the before, during and after cargo loading stages and must capture the entire secured area and the inside of IIT from tail to nose.

(CTPAT MSC 9.16, 5.6)

- [x] 已拍摄照片
- [x] 已录制视频
- [ ] 未拍摄视频或照片，或未覆盖所需区域

**注释:** *未提供评论*

52 危急 发货区是否使用了适当的设备来执行 IIT 七点检查法? （选择所有适用项）

请附上用于执行该 IIT 检查的所有设备的照片。

**问题指南:** Specific equipment is required to conduct Instruments of International Traffic (IIT) inspections, including: A measurement tool, such as a laser distance measurer, pre-measured string, or tape measure; A mirror specifically designed for inspecting vehicle undercarriages. Both convex and concave mirrors are acceptable, provided they are appropriately sized for inspecting the IIT. Other types of mirrors, such as makeup mirrors, are not acceptable; A mallet or hammer for testing walls; A tool for cleaning or sweeping the inside of the IIT, such as a broom, blower air hose, shop vacuum, etc.; All tools must be available for review upon request. The auditor should document the details of the tools used in the notes section.
NOTE: If tools are available, but no IIT inspections are being conducted, only select the answer option "No IIT Inspections are Conducted" and provide comments on any tools that may be available.

- [x] 测量工具
- [x] 起落架的镜子
- [x] 敲击测试工具
- [x] IIT 内部清洁工具
- [ ] 无可用工具/工具不符合要求
- [ ] 未进行 IIT 检查

177-Container i... jpg

**注释:** *未提供评论*

53 必须 IIT 检查是否在安全区域和闭路电视监控下进行? （选择所有适用项）

**问题指南:** All security inspections of Instruments of International Traffic (IIT) should be performed in an area of controlled access and, if available, monitored via a CCTV system. This is a best practice and is encouraged that photos must be taken of the IIT inspection processes. CCTV recordings must capture entire secured area, and inside of IIT from tail to nose. (CTPAT MSC 5.6)

- [x] IIT 检查区域在闭路电视上可见
- [ ] 在闭路电视上可看到 IIT 内部从尾部到前端的情况
- [x] inspections are conducted in a secured area
- [ ] 检查既未被闭路电视录像，也未在安全区域进行
- [ ] 未进行 IIT 检查

**注释:** This was previous finding which the action was not implemented.

Per onsite observation, the CCTV camera was installed at the loading area, but could not capture the inside of trailer/container.

CAPA 已分配 **2026/06/23** | 到期日 **2026/08/22**

**CAPA:** 制定并记录一项程序，要求所有国际运输工具 (IIT) 检查均须通过闭路电视予以记录和监督，以确保检查的完整性和责任划分。

- 如果已经实施，请在文本框中说明您何时以及如何完成纠正措施或实施流程。请附上带标题和文档说明的流程的照片。

- 如果将要实施，请在文本框中提供您的纠正措施计划以及完成和实施该流程的时间表（未来日期）。

**CAPA 指南:** The documented procedure must, at a minimum, include the following requirements:

- All Instruments of International Traffic (IIT) inspections must be conducted in an access-controlled environment that is actively monitored via CCTV

- CCTV footage must capture the entire secured area, including a full, unobstructed view of the IIT from tail to nose during the inspection

- Inspections must be supervised by trained personnel and continuously monitored through CCTV

- Video footage or images must be time-stamped, stored securely, and retained for future audit or verification purposes

The comments section must detail actions that have been completed or are planned to be taken. If a document is attached, please specify the page number where the relevant process begins.

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.

- ○ 已经实施
- ◉ 将要实施
- ○ 不会实施/不会履行纠正措施请求

**注释:** 一、工厂将指定反恐安全主任王荣靓计划在2026年6月26日开始要求其更新《集装箱和拖车检查程序》，其内容要求增加“1、所有国际运输工具 (IIT) 检查必须在通过闭路电视进行实时监控的受控环境中进行 。2、闭路电视录像必须覆盖整个受保护区域，在检查过程中确保对 IIT 从尾部到前端的全程无遮挡视角。 3、 检查工作必须由经过培训的人员监督，并通过闭路电视进行持续监控 。4、视频影像或图像必须加盖时间戳、安全存储并予以保留，以供未来审计或验证目的”。该程序将在2026年6月30日完成更新。

二、同时要求IT人员增加装柜区的摄像头，确保能覆盖到所有受保护区域，该区域摄像头将在2026年6月30日同步完成安装。检查工作的人员培训工作将在2026年6月30日完成培训

**验收意见:** 公认

54 必须 工厂是否保存培训记录，说明哪些员工接受过 IIT 七点检查法的培训?

**问题指南:** The facility must have records showing employees are trained/re-trained as needed on Instruments of International Traffic (IIT) inspections. Training materials and documentation must be kept and available upon request.

- [x] 是
- [ ] 否
- [ ] 未进行 IIT 检查

**注释:** *未提供评论*

55 材料 是否设有管理人员或监督人员进行后续 IIT 检查的程序?

**问题指南:** This is a best practice and is encouraged that the facility should have a documented procedure that indicates how frequent management conducts follow-up inspections to ensure Instruments of International Traffic (IIT) inspection processes are accurately followed. Based on risk, management personnel should conduct random searches of conveyances after the transportation staff have conducted conveyance/Instruments of International Traffic inspections. The searches of the conveyance should be done periodically, with a higher frequency based on risk. The searches should be conducted at random without warning, so they will not become predictable. The inspections should be conducted at various locations where the conveyance is susceptible: the carrier yard, after the truck has been loaded, and en route to the United States border.

(CTPAT MSC 5.8)

- [x] 是
- [ ] 否
- [ ] 未进行 IIT 检查

**注释:** *未提供评论*

56 材料 所有 IIT 检查和 IIT 装载是否都受到监督?

**问题指南:** Best practice dictates that all Instruments of International Traffic (IIT) inspections as well as the loading of IIT be supervised and that supervisors should also sign the inspection checklist. Evidence should be provided to the SCAN auditor to show how factory management plays a role in the inspection of IIT, supervision of loading of IIT including frequency and if inspections are announced or unannounced. For the loading of IIT, it is acceptable if a security officer or other designated personnel is supervising the process.

(CTPAT MSC 7.4)

- [x] 是 - 全都受到监督

- ○ 是 - 随机的部分 IIT 检查和 IIT 装载受到监督
- ○ 否

**注释:** *未提供评论*

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57 没有 工厂是否直接为其任何客户或业务合作伙伴与运输服务提供商签约?

**问题指南:** Question who is responsible for contracting transportation services at origin. This includes the movement to a consolidation location or between multiple production or storage facilities prior to export.

- ◉ 是
- ○ 否

**注释:** *未提供评论*

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58 材料 工厂是否有记录在案的程序来要求确认所装运货物到达目的地（IIT 堆场或货运代理位置）?

**问题指南:** This is a best practice and is encouraged that the facility should work with their transportation providers to track conveyances from origin to final destination point.
Requirements should include confirmation of items shipped arriving at Instruments of International Traffic (IIT) yard/freight forwarder's warehouse/location; requiring confirmation via phone of cargo arrival at destination from driver or carrier dispatch; tracking shipment via GPS (CTPAT MSC 5.14)

- ◉ 是
- ○ 否

**注释:** *未提供评论*

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59 材料 工厂要求签约运输公司使用哪些跟踪技术来监督行动轨迹以及确认货物到达?

**问题指南:** This is a best practice and is encouraged that the factory should have documented procedures that list what tracking technologies are required to be used by transportation providers. Examples include GPS controlled by either the carrier or shipper, required cell phone checks by carrier dispatch, etc. (Carrier is the transportation service provider; Shipper is the factory and/ or the vendor). If facility uses a different type of tracking not listed in answers, please describe in notes.
(CTPAT MSC 5.15)

- ◉ 承运人控制的 GPS

- 托运人控制的 GPS
- 承运人调度人员致电核实
- 司机致电确认
- 以上两个或多个选项 - 请说明
- Other - please describe
- 未使用跟踪技术

**注释:** *未提供评论*

60 材料 在可能的情况下，从工厂到港口或下一个目的地的运输路线是否随机改变，以尽量减少可预测性?

**问题指南:** Evidence should be provided to the auditor to show how transit routes from the facility to the next destination are randomly changed, if applicable. The route scheduling is to be made by authorized team members from the organization or the transit operation team (not at the discretion of the driver). Routes need to be pre planned and coordinated accordingly in advance of the transportation day. This is a best practice and is encouraged.

- (●) 是
- 否
- 仅提供一条路线

**注释:** *未提供评论*

61 材料 工厂是否向运输服务司机提供记录在案的指示，详细说明了仅允许必要的停靠？（即仅在政府机构检查点或重新加油等情况下停靠。）

仅在该工厂只通过集货商或承运人装运小包裹时，选择"不适用"。

**问题指南:** Cargo at rest is cargo at risk. Scheduled stops would not be covered by this policy, but would have to be considered in an overall tracking and monitoring procedure. This is a best practice and is encouraged. Best practice dictates a "no-stop" policy should be implemented with regard to unscheduled stops. Review facility's requirements timeline. It must include types of stops permitted; examples include but not limited to: inspections by government agencies, fueling, etc.; reporting of unscheduled or other unpermitted stops must be reported to facility. (CTPAT MSC 5.16)

- (●) 是
- 否

N/A

**注释：** *未提供评论*

62 危急 工厂是否针对物料的到达和离开移动而记录了司机信息？（选择所有适用项）

**问题指南：** Drivers delivering or receiving cargo must be positively identified before cargo is received or released. Drivers must present government-issued photo identification to the facility employee granting access to verify their identity. If presenting a government-issued photo identification is not feasible, the facility employee may accept a recognizable form of photo identification issued by the carrier company that employs the driver picking up the load. This process must be documented in the factory's SOP.

(CTPAT MSC 10.3, 10.4)

- [x] 司机日志已妥善保存(请附上正在使用的日志照片)
- [x] 牵引车编号/IIT编号
- [x] 要求提供司机的带照片身份证件
- [x] 承运人名称
- [x] 日期
- [x] 抵达时间
- [x] 起运时间
- [x] IIT 起运时的封条验证信息
- [ ] 没有司机日志可供查看

214-Driver log.jpg

**注释：** *未提供评论*

63 材料 工厂是否要求承运人提前通知计划提货的预计到达时间，包括司机姓名和卡车车牌号？

**问题指南：** Where operationally feasible, the facility should allow deliveries and pickups by appointment only. This criterion will help shippers and carriers to avoid fictitious pickups. Fictitious pick-ups are criminal schemes that result in the theft of cargo by deception that includes truck drivers using fake IDs and/or fictitious businesses set up for the purpose of cargo theft. When a carrier has regular drivers that pick up goods from a certain facility, a good practice is for the facility to maintain a list of the drivers with their pictures. Therefore, if it is not feasible to let the company know which driver is coming, the company will still be able to verify that the driver is approved to pick up cargo from the facility.

(CTPAT 10.7)

◉ 是

○ 否

**注释:** *未提供评论*

64 没有 工厂是否发运拼箱货物 (LCL)?

○ 是

◉ 否

**注释:** No LCL shipment was found in the factory.

66 没有 工厂是否进行空运?

○ 是

◉ 否

**注释:** No air shipment was conducted by the factory.

68 没有 工厂是否用顶开、侧开、通风（牲畜）、软面集装箱发运货物?

○ 是

◉ 否

**注释:** No shipment was made in open top, open sided, ventilated (livestock),soft sided containers.

70 危急 在装载 IIT 之后，是否立即采用符合 ISO 17712:2013 标准的高安全性封条来封装国际货物?

仅在该工厂只通过集货商或承运人装运小包裹时，选择"不适用"。

**问题指南:** All shipments must be secured immediately after loading/ stuffing/ packing with a high-security seal that meets or exceeds the most current International Organization for Standardization (ISO) 17712 standard for high-security seals. This must be documented in the factory's SOP.

(CTPAT 6.2)

◉ 是(请上传使用中的符合ISO相关标准的封条照片)

○ 否

○ N/A

239-Seal on con... jpg

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

71 危急 工厂是否有记录在案的和可验证的程序来确保安全封条在控制之中？ （选择所有适用项）

仅在封条由第三方（如集货商或承运人）提供时，选择"不适用"。

**问题指南：** Review the policy and if possible observe the sealing of an Instruments of International Traffic (IIT) on site. Pay careful attention to the policy to insure that all requirements are covered. Review the facility's seal process. It must include at a minimum that only designated employees can access seal storage and apply seals to IITs.

(CTPAT 6.1)

- [ ] 政策已记录在案（请附上适用程序部分的照片）
- [ ] 封条妥善存放
- [ ] 列出了有权取用存放的封条的特定员工
- [ ] 记录在案的政策不可用
- [x] N/A

**注释：** The seals were provided by carrier.

72 必须 工厂是否有记录在案的流程，以便在发生安全威胁或运输违规时，及时通知供应链中的任何业务合作伙伴和相关执法机构？

**问题指南：** If a credible (or detected) threat to the security of a shipment or conveyance is discovered, is there a documented process where the facility alerts (as soon as feasibly possible) any business partners in the supply chain that may be affected and any law enforcement agencies, as appropriate?

(CTPAT MSC 5.29)

- (●) 是
- ( ) 否

**注释：** *未提供评论*

73 材料 在跨境运输或货物转运之前，是否存在记录在案的程序，以检查 IIT 交通运输工具是否有篡改迹象（包括实地检查和 VVTT）？

仅在该工厂只通过集货商或承运人装运小包裹时，选择"不适用"。

**问题指南：** Properly trained individuals should conduct the inspections.

V – View seal and Instruments of International Traffic (IIT) locking mechanisms; ensure they are OK;

V – Verify seal number against shipment documents for accuracy;

T – Tug on seal to make sure it is affixed properly;

T – Twist and turn the bolt seal to make sure its components do not unscrew, separate from one another, or any part of the seal becomes loose.

(CTPAT MSC 5.24)

- [x] 是
- [ ] 否
- [ ] N/A

**注释:** *未提供评论*

## 农业安全 100%

74 必须 该工厂是否制定了预防可见虫害污染的记录在案的程序，包括遵守木质包装材料 (WPM) 法规?

仅当该工厂在其生产或运输过程中不使用任何木材或木质包装材料时，选择"不适用"。

**问题指南:** Visible pest prevention measures must be adhered to throughout the supply chain. Measures regarding WPM must meet the International Plant Protection Convention's (IPPC) International Standards for Phytosanitary Measures No. 15 (ISPM 15). Wood packaging material (WPM) refers to wood products (excluding paper products) like pallets, crates, boxes, reels, and dunnage used in supporting or transporting goods. These items, often made from raw wood, can harbor pests if not properly processed or treated. The International Plant Protection Convention (IPPC), overseen by the UN's Food and Agriculture Organization, aims to prevent the spread of pests globally. ISPM 15, a standard under IPPC, mandates that WPM must be debarked, heat-treated, or fumigated with methyl bromide and marked with the IPPC "wheat stamp" to indicate compliance. Exemptions include materials like paper, metal, plastic, and engineered wood products.

(CTPAT MSC 8.1)

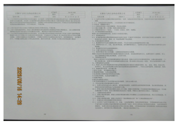
- [ ] 是
- [ ] 否
- [x] N/A

**注释:** The factory did not use wood products or packing material.

75 必须 该工厂是否制定了记录在案的流程，用于在装载前清除 IIT 外部和内部的虫害污染及其他杂物？ 记录在案的流程必须规定为期一年的保留政策。

仅在该工厂只通过集货商或承运人装运小包裹时，选择"不适用"。
**问题指南：** To prevent invasive pests and debris, a best practice is to run water over the outside of the IIT prior to loading and before departure from the facility. An inspection for dirt and evidence of pests should also be conducted. Both processes should be documented. Retain for one year documentation demonstrating compliance with any records related to type of contaminants found, where they were found and how the contaminants were eliminated. NA is used to address if shipments are being added to a Less than Truckload shipment from this facility via small package consolidator or carrier.
(CTPAT 8.1, 5.7)

- (●) 是 - 请附上流程中该部分的照片
- ( ) 无记录在案的流程和/或保留政策不完善
- ( ) N/A


255-Pest inspect...jpg

**注释：** *未提供评论*

76 材料 工厂是否在装载前清除 IIT 外部和内部的虫害污染及其他杂物？

仅在该工厂只通过集货商或承运人装运小包裹时，选择"不适用"。
**问题指南：** To prevent invasive pests and debris, a best practice is to run water over the outside of the IIT prior to loading and before departure from the facility. An inspection for dirt and evidence of pests should also be conducted. NA is used to address if shipments are being added to a Less than Truckload shipment from this facility via small package consolidator or carrier.

- (●) 是 - 请说明如何进行验证
- ( ) 否
- ( ) 脏污 IIT 被拒收
- ( ) N/A

**注释：** The facility remove pest contamination and other debris from IIT exterior and interior before loading by the designated person and kept relevant inspection records.

77 材料 工厂是否有记录在案的程序，用于检查和审查虫害入侵证据（如诱饵诱捕器）、定期灭杀以及从运输和存储工厂中清除杂物？

**问题指南:** The facility should have a documented procedure that indicates how pests are controlled. This could include the use of bait stations, having a regular extermination service complete preventative care and established routine practices for employees to follow that indicates all IIT and storage areas are free from trash, bugs, food, etc. Cargo staging areas, and the immediate surrounding areas, must be inspected on a regular basis to ensure these areas remain free of visible pest contamination.
(CTPAT MSC 7.2)

- [x] 是 - 并已实施（请告知如何进行验证）
- [ ] 是
- [ ] 否

**注释:** The facility had established the documented procedure to inspect and review evidence of pest access.

78 必须 对于国际货物而言，木质包装材料是否经过热处理或熏蒸，以杀死虫害并降低在 IIT 装箱处引入虫害的可能性？ （选择所有适用项）

仅在该工厂没有将木质包装材料用于国际货物时，选择"不适用"。
**问题指南:** In order to prevent unwanted pests in the supply chain, a documented procedure must be established to heat treat or fumigate wood packaging material at the IIT stuffing location. The procedure must indicate what methods are conducted, how often and the party responsible. As long as factory uses wood packing materials, used for international shipments, those must be heat treated or fumigated in order to be in compliance.
(CTPAT MSC 8.1)

- [ ] 工厂仅使用经过热处理或其他处理的包装材料
- [ ] 生产流程中使用的所有木材的来源都记录在案，并提供给收货人
- [ ] 工厂无法详细说明在使用前对木材包装材料所做的处理
- [x] N/A

**注释:** The factory did not use wood products or packing material.

79 必须 对于国际货物而言，装运过程中使用的木质托盘是否经过热处理或熏蒸，以杀死虫害并降低在装运工厂引入虫害的可能性？ 托盘是否存放在工厂内，以限制其接触种子、污垢和其他污染物？ （选择所有适用项）

仅当该工厂没有将木质托盘用于国际货物时，选择"不适用"。

**问题指南:** The wood pallets used in shipping must be heat treated or fumigated at the loading facility. A documented procedure must indicate who is responsible for conducting the heat treatment and also how pallets are stored inside the facility to limit exposure to any contaminants.
If pallets are stored outdoors or are not heat-treated, request an explanation from the facility team regarding why this practice is being followed or allowed.
(CTPAT MSC 8.1)

- [ ] 托盘经过热处理或熏蒸
- [ ] 托盘上加盖有热处理印章，或为交付的每个托盘颁发植物检疫检验证书
- [ ] 托盘存储在建筑物内
- [ ] 记录在案的流程可用
- [ ] pallets are observed stored outside and on the ground
- [ ] 托盘未经热处理或熏蒸
- [x] N/A

**注释:** No wood pallets are used in the factory.

## 封条安全 N/A

80 必须 工厂是否有详细记录在案的高安全性封条程序，其中规定了封条在工厂和运输过程中的发放和控制程序？ （选择所有适用项）

仅在该工厂只使用由第三方提供商提供的封条，通过集货商或承运人装运小包裹时，选择"不适用"。
**问题指南:** Written procedures must be maintained locally for accessibility, reviewed annually, and updated as needed. Access Control: Limit seal management to authorized personnel and store seals securely. Inventory & Tracking: Maintain a seal log to record receipt, issuance, and affixation by trained personnel. In-Transit Controls: Verify seal integrity and match seal numbers with shipping documents. Seal Breakage: Document and report seal changes immediately, ensuring proper notification and log updates. Discrepancies & Investigations: Retain tampered seals, investigate discrepancies, take corrective action, and report compromised seals to CBP and foreign authorities if necessary.
(CTPAT MSC 6.1)

- [ ] 控制对封条的访问
- [ ] 库存、分发和跟踪（封条日志）

- [ ] 控制运输中的封条
- [ ] 运输途中封条破损
- [ ] 封条差异
- [ ] 每年审查一次程序
- [ ] 文档不可用
- [ ] 发现实施中的漏洞（请提供备注）
- [x] N/A

**注释:** The seals were provided by carrier.

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81 危急 安全封条是否存储在安全位置?

仅在该工厂只使用由第三方提供商提供的封条，通过集货商或承运人装运小包裹时，选择"不适用"。

**问题指南:** Seals must be stored and maintained in a secured location such as a locked cabinet/drawer that cannot be easily removed from an area (a lock box is not appropriate since it can be picked up).

(CTPAT MSC 6.1)

- ○ 是 (请上传封条存放位置的照片)
- ○ 否
- ● N/A

**注释:** The seals were provided by carrier.

---

82 危急 工厂是否有记录在案的测试报告或封条供应商提供的声明，以验证所使用的封条是否符合（或超过）最新的 ISO 17712 标准?

仅在该工厂只使用由第三方提供商提供的封条，通过集货商或承运人装运小包裹时，选择"不适用"。

**问题指南:** Acceptable evidence of compliance is a copy of a laboratory testing certificate that demonstrates compliance with the ISO high-security seal standard. Test reports should be maintained to show compliance with ISO 17712 criteria. Factories must request new test documentation to show compliance for every batch of seals they receive. This process must be documented in the facility's procedure.

(CTPAT MSC 6.5)

- ○ 是 (请上传封条测试报告的照片)
- ○ 否

◉ N/A

**注释:** The seals were provided by carrier.

83 必须 是否制定了记录在案的程序，要求管理层人员对封条库存、封条日志、装运单据和交通运输工具进行定期审计，以验证是否遵循了封条控制措施。所有步骤必须记录在案。（选择所有适用项）

仅在该工厂只使用由第三方提供商提供的封条，通过集货商或承运人装运小包裹时，选择"不适用"。

**问题指南:** A procedure must be documented that requires a defined frequency for management personnel to conduct audits of seal inventory, the seal log and shipping documentation. The procedure must also list how management is to document these audits to show compliance to the auditor. If selecting NA, the seals are provided by the consolidator or small package carriers. (CTPAT MSC 6.6)

- ☐ 记录在案的程序可用
- ☐ 执行并记录审计
- ☐ 无记录在案的政策或实操
- ☑ N/A

**注释:** The seals were provided by carrier.

84 危急 描述工厂的封条施用流程。（选择所有适用项）

仅在该工厂只使用由第三方提供商提供的封条，通过集货商或承运人装运小包裹时，选择"不适用"。

**问题指南:** CTPAT's seal verification process must be followed to ensure all high-security seals (bolt/cable) have been affixed properly to the IIT and are operating as designed. The procedure is known as the VVTT process:

V – View seal and IIT locking mechanisms; ensure they are OK;

V – Verify seal number against shipment documents for accuracy;

T – Tug on seal to make sure it is affixed properly;

T – Twist and turn the bolt seal to make sure its components do not unscrew, separate from one another, or any part of the seal becomes loose.

The VVTT process for cable seals needs to ensure the cables are taut. Once it has been properly applied, tug and pull the cable in order to determine if there is any cable slippage within the locking body. This process must be documented in internal procedures.

(CTPAT MSC 6.7 / 7.5 / 7.29 / 7.30)

- [ ] 封条施用程序中包含 VVTT 流程
- [ ] 二次测试和验证由主管或保安在出厂时进行检查
- [ ] 封条编号在装运单据上以电子方式记录
- [ ] 在闭路电视录像上记录测试程序
- [ ] 将封条编号告知或以其他方式发送给收货人
- [ ] 在离开原产地港口之前，若更改封条编号，会告知工厂
- [ ] 流程已记录在案
- [ ] 未制定封条施用流程
- [x] N/A

**注释:** The seals were provided by carrier.

## 程序安全 100%

85 危急 毗邻发货区和收货区的区域是否封闭或受到监控?

**问题指南:** Cargo handling and storage areas must be enclosed by perimeter fencing. Facilities managing cargo must also use interior fencing to secure cargo and handling zones. Where fencing is not feasible, effective barriers such as solid walls, steep terrain, or dense vegetation must be used. If the area cannot be fully enclosed, it must be actively monitored. Acceptable monitoring methods include continuous observation, CCTV coverage of entry/exit and loading zones, electronic card/badge access systems, or access rosters with employee names, photos, and authorized times or roles.

- (●) 是 (请上传该区域被包围,并且/或者有其它监督设置的照片)
- ( ) 否

304-Loading ar... jpg

**注释:** *未提供评论*

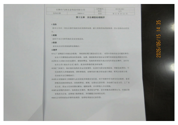
86 危急 是否制定了记录在案的程序，用于报告工厂内对 IIT 和/或产品存放区的未经授权访问，以及要通知哪些人员?

**问题指南:** Facilities must implement a documented policy to prevent and respond to unauthorized access to IIT and storage areas. This includes defining unauthorized access, conducting inspections, managing security breaches, and establishing reporting protocols. Reportable incidents include tampering, hidden compartments, unauthorized seals, smuggling, illegal access to transport vehicles, and incidents of coercion or misuse of business identifiers.

(CTPAT MSC 5.29, 7.23, 7.24)

◉ 是 (请上传程序文件中对应章节的照片)

○ 否



306-Unauthoriz... jpg

**注释:** *未提供评论*

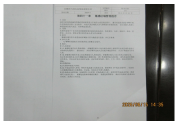
87 危急 是否制定了记录在案的程序，用于监控和限制访问工厂的关键运营区域（如仓库拣选、最终打包或包装、发货和收货）？

**问题指南:** Facilities must have a documented policy to limit access to critical operational areas to only authorized personnel. The policy must define critical operational areas (warehouse picking, final packing/packaging, and shipping/receiving at a minimum). Describe how access is limited.

◉ 是 (请上传程序文件中对应章节的照片)

○ 否

○ 是 - 但发现实施中的漏洞



308-Sensitive ar... jpg

**注释:** *未提供评论*

88 危急 是否制定了记录在案的程序，要求商品/货物装运单据中使用的所有信息必须清晰、完整和准确?

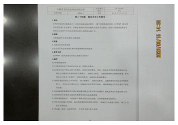
**问题指南:** Facilities must have a documented process for ensuring shipping documents are legible, complete, and accurate.

(CTPAT MSC 7.6)

◉ 是 (请上传程序文件中对应章节的照片)

○ 否

○ 是 - 但发现实施中的漏洞



311-Shipping do...jpg

**注释:** *未提供评论*

89 危急 是否制定了记录在案的程序，用于在 IIT 装载过程中或货物离开工厂后，调查和解决箱数不足、超载或任何单据问题?

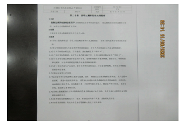
**问题指南:** All shortages, overages, and other significant discrepancies or anomalies must be investigated and resolved, as appropriate. Facilities that load Instruments of International Traffic (IIT) must have a documented process in place for counting cartons during the loading process and identifying and resolving shortages, overages, and/or documentation issues.

(CTPAT MSC 7.27)

◉ 是 (请上传程序文件中对应章节的照片)

○ 否

○ 是 - 但发现实施中的漏洞



314-Cargo short... jpg

**注释:** *未提供评论*

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90 危急 是否制定了记录在案的程序，确保标记、清点、称重并在装运单据上准确申报国际货物?

如果此工厂不涉及国际货物业务，则选择"不适用"。

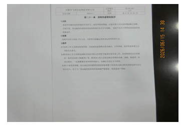
**问题指南:** Facilities that load Instruments of International Traffic (IIT) must have a documented process that dictates that cargo must be marked, counted weighed, and properly reported on commercial invoice and bill of lading.

◉ 是 (请上传程序文件中对应章节的照片)

○ 否

○ 是 - 但发现实施中的漏洞

○ N/A



317-Shipping do...jpg

**注释:** *未提供评论*

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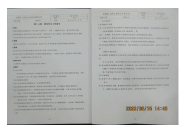
91 危急 是否制定了限制访问发货和收货单据的记录在案的程序?

**问题指南:** A documented procedure must be established to outline: the roles or positions responsible for creating and processing shipping documents; the individuals or positions designated to review documents for completeness and accuracy; and the controlled access measures ensuring that only authorized personnel involved in document creation, processing, and usage can access shipping records.

◉ 是 (请上传程序文件中对应章节的照片)

○ 否

○ 是 - 但发现实施中的漏洞



321-Shipping do...jpg

**注释:** *未提供评论*

---

92 材料 是否使用预先打印的纸质文件/表格来准备商业文件并妥善保管?

**问题指南:** Best practice dictates if paper documents are used, facility must describe steps taken to secure them in a documented procedure.

(CTPAT MSC 7.7)

- (●) 预先打印的文档/表格受到保护
- ( ) 预先打印的文档/表格未受到保护
- ( ) 预先打印的文档/表格不予使用

**注释:** *未提供评论*

93 材料 在准备出口单据时，共享网络打印机的密码是否受保护?

仅在未使用共享网络打印机时选择 NA。

**问题指南:** This is a best practice and is encouraged that the access to shared network printers should be controlled via individually assigned passwords.

- (●) 是
- ( ) 否
- ( ) N/A

**注释:** *未提供评论*

94 危急 是否制定了记录在案的程序，要求商业单据包在发货时一并寄送? 请说明具体流程。

**问题指南:** Document packets must be sent with shipment at time of departure once information is verified as correct. This can be either hard copy or electronic but must be documented in a procedure.

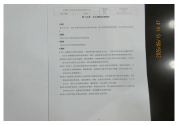
- (●) 是
- ( ) 否
- ( ) 是 - 但发现实施中的漏洞

**注释:** Commercial documents were released and checked by assigned employee in shipping section and sent with the shipment at departure.

95 危急 是否制定了记录在案的程序，用于在涉嫌或发现非法运输活动或任何异常情况时，通知当地执法部门和客户?

**问题指南:** Procedures to report security incidents or illegal shipping activity are extremely important aspects of a security program. Procedures must include what to report, to whom, how to report the incident, and what to do after the report is completed. Security issues include but are not limited to attempted or completed: theft, fraud, internal conspiracies, stowaways, tampering of cartons/IIT, discovering hidden compartments in IIT during inspection,

unauthorized entry into IIT/facility property, extortion, bribes, threats, etc.
(CTPAT MSC 5.29, 7.23)



[333-Emergency ...jpg]

- ◉ 是 (请上传程序文件中对应章节的照片)
- ○ 否

**注释:** *未提供评论*

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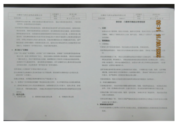
96 危急 是否采用了记录在案的门禁控制程序和设备，以确保只有获授权的员工才能进入工厂？

**问题指南:** Facility must have a comprehensive policy for controlling access to the buildings and property. Access controls prevent unauthorized access into facilities/areas, help maintain control of employees and visitors, and protect company assets. Access controls include the positive identification of all employees, visitors, service providers, and vendors at all points of entry.



[335-Access cont... jpg]

- ◉ 是（请附上适用文档部分和设备的照片）
- ○ 否
- ○ 是 - 但发现实施中的漏洞

**注释:** *未提供评论*

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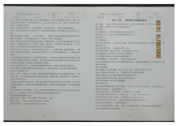
97 危急 是否制定了记录在案的程序，用于将安全问题（如盗窃未遂、欺诈或内部阴谋）告知业务合作伙伴？

**问题指南:** Procedures to report attempted theft, fraud or internal conspiracies are extremely important aspects of a security program. Procedures must include notification to Business Partners, how to report the incident, and what to do after the report is completed. Business Partners include any suppliers, service providers, subcontractors, etc.



[338-Abnormal e...jpg]

- ◉ 是 (请上传程序文件中对应章节的照片)
- ○ 否

**注释:** *未提供评论*

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98 材料 是否制定了记录在案的程序，用于要求发运部门在起运前核对装载货物与采购订单是否相符？

**问题指南:** Departing cargo should be verified against purchase or delivery orders. As a best practice, this expectation should be documented in a procedure and include how this completed.

- ◉ 是

否

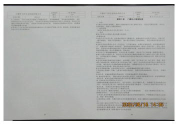
是 - 但发现实施中的漏洞

**注释:** *未提供评论*

99 危急 是否制定了记录在案的程序，用于控制门禁装置（如身份识别卡、门锁钥匙、门禁卡和安全警报码）的发放、撤销和更换？

**问题指南:** Facilities must implement a documented policy to regulate the issuance, modification, and revocation of access devices, ensuring secure and controlled access to restricted areas. This policy should define various access devices, including photo ID badges, keys, access cards, and alarm codes, and establish guidelines for their distribution. Temporary identification should be provided for seasonal or temporary employees, while permanent staff receive access based on their specific job responsibilities. When employees transition to new roles, their access credentials must be updated accordingly, and upon termination, all access devices must be promptly collected and deactivated. To maintain accurate records, a checklist should be utilized to track the issuance and removal of access devices, reinforcing security and accountability within the facility.

- [x] 是 (请上传程序文件中对应章节的照片)
- [ ] 否



343-Access devi... jpg

**注释:** *未提供评论*

100 没有 现场是否有专门的安保人员/保安？

- [x] 是
- [ ] 否

**注释:** *未提供评论*

101 必须 是否制定了记录在案的岗位说明，用于概述安保人员或身兼两职（包括安保职能）人员的角色和职责？

**问题指南:** Procedures must be in place that list job descriptions outlining roles and responsibilities for all security staff and any staff performing dual roles that include security functions. Job descriptions must be available to the auditor upon request.

- [x] 是
- [ ] 否

**注释:** *未提供评论*

10
2 必须 该工厂是否要求安保人员或承包商在非工作时段在工厂中"巡逻"，并且是否用闭路电视监控、电子记录或纸质检查清单对"巡逻"进行记录?

**问题指南:** A documented procedure must be in place to require all security staff and security contractors to patrol and document the facility at all times of day. The patrols should be documented either via CCTV, electronic recordings or through paper check lists. Auditor to review the documented procedure and the recordings to confirm patrols are conducted and documented.

- ◉ 要求巡逻；并以电子方式或通过闭路电视记录
- ○ 要求巡逻；仅以纸质方式记录
- ○ 要求巡逻；未进行文档记录
- ○ 不要求巡逻，也未予以记录

**注释:** *未提供评论*

103 必须 管理层是否根据安保人员/保安的工作指示和政策进行验证?

**问题指南:** Documented reviews on security work instructions and policies should be conducted by management. Any discrepancies found should be documented and corrective actions should be taken.

(CTPAT MSC 10.10)

- ◉ 是
- ○ 否
- ○ 是 - 但发现实施中的漏洞

**注释:** *未提供评论*

10
4 必须 是否制定了记录在案的程序，用于确保提单 (BOL)、货运代理收据 (FCR) 和舱单准确反映了提供给承运人的信息?

**问题指南:** The shipper or its agent must ensure that bill of ladings (BOLs) and/or manifests accurately reflect the information provided to the carrier, and carriers must exercise due diligence to ensure these documents are accurate. BOLs and manifests must be filed with Customs in a timely manner. BOL information filed with Customs must show the first foreign location/facility where the carrier takes possession of the cargo destined for the United States.

The weight and piece count must be accurate.

(CTPAT MSC 7.8)

- [x] 是
- [ ] 否
- [ ] 是 - 但发现实施中的漏洞

**注释:** *未提供评论*

105 必须 是否制定了记录在案的程序，用于在发现安全相关事件（例如，恐怖主义、毒品、偷渡、盗窃）时立即启动内部调查并予以记录?

**问题指南:** Members must initiate their own internal investigations of any security-related incidents (terrorism, narcotics, stowaways, absconders, etc.) immediately after becoming aware of the incident. The company investigation must not impede/interfere with any investigation conducted by a government law enforcement agency. The internal company investigation must be documented, completed as soon as feasibly possible, and made available to Customs and any other law enforcement agency, as appropriate, upon request.

(CTPAT MSC 7.37)

- [x] 是
- [ ] 否
- [ ] 是 - 但发现实施中的漏洞

**注释:** *未提供评论*

## 物理安全 99%

106 危急 是否有一个与发货和收货区分开的员工和访客车辆指定停放区?

**问题指南:** Facilities must establish designated parking areas for employees and visitors, ensuring they remain separate from shipping and receiving zones. Clear signage must be posted to identify parking locations, and a physical barrier must be in place to distinguish these areas from shipping and receiving operations. Access to shipping and receiving zones should be strictly controlled in accordance with the facility’s access control policy. To maintain security and operational efficiency, personal vehicles are not permitted in shipping or receiving areas.

(CTPAT MSC 9.5)

- [x] 是（请附上适用区域的照片）
- [ ] 否

○ 是 - 但发现实施中的漏洞

[362-Visitor vehi... jpg]

**注释:** *未提供评论*

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107 材料 是否有适当的控制措施将国内货物与将要发往国外的国际货物分开?

**问题指南:** This is a best practice and is encouraged that the cargo must be separated based on domestic, international, high value and/or hazardous goods. If fencing is used, it must be inspected regularly.

(CTPAT MSC 9.2)

◉ 是

○ 否

**注释:** *未提供评论*

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108 材料 是否制定有要求定期检查工厂围墙沿线,或其他围栏、建筑物和结构的预防性维护程序? (选择所有适用项)

**问题指南:** Best practice dictates the perimeter fencing/barrier should be inspected regularly. This process must be documented. If damage is discovered it must be repaired as soon as possible.

(CTPAT MSC 9.2)

- [x] 政策已记录在案
- [x] 定期检查已记录在案
- [x] 预防维护日志已留存
- [ ] 未设任何程序

**注释:** *未提供评论*

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109 危急 是否有任何屏障限制车辆和人员进出工厂? 请附上适用区域的照片。

**问题指南:** Facilities must have a barrier controlling vehicle and personnel access. Barriers must be monitored in some way at all times. When open, uniformed guards must be present. Physical Security – Cargo handling and storage facilities, Instruments of International Traffic storage areas, and facilities where import/export documentation is prepared in domestic and foreign locations must have physical barriers and deterrents that guard against unauthorized access. All cargo handling and storage facilities, including trailer yards and offices must have physical barriers and/or deterrents that prevent unauthorized access. Other acceptable barriers may be used instead of fencing, such as a dividing wall or natural features that are impenetrable or, otherwise, impede access such as a steep cliff or dense thickets.

(CTPAT MSC 9.1, 9.4)

- (●) 物理屏障
- ( ) 环境屏障
- ( ) 物理和环境屏障结合
- ( ) 无屏障

371-Physical ba... jpg

**注释:** Through onsite observations and management interviews, it was noted that when visitors and vehicles enter the facility, security guards open the anti-theft door to allow access. The guards monitor both the gate area and the activities of people and vehicles. They will close the door once individuals and vehicles have entered or exited.

110 危急 大门在未使用时是否处于上锁和监控状态?

仅在工厂没有大门时，选择"不适用"。

**问题指南:** Gates must be locked when not in use. CCTV should also monitor gates at all times.

(CTPAT MSC 9.4)

- (●) 是 - 大门在未使用时处于上锁/锁闭状态，并由闭路电视监控（请附上适用区域的照片）
- ( ) 是 - 大门在未使用时处于上锁/锁闭状态（请附上适用区域的照片）
- ( ) 否
- ( ) N/A

375-Facility gate.jpg

**注释:** *未提供评论*

111 必须 工厂入口、出口、货物装卸和存储区域、围栏沿线和停车区是否有足够的照明来检测黑暗环境下的物体移动?

**问题指南:** Facilities must have sufficient interior and exterior lighting. Lighting must cover at a minimum: at all entrances, exits, cargo handling, storage, along fence lines, loading/unloading areas, and in all parking areas. This must be shown on recorded video to the auditor that lighting is installed and operational during nighttime periods.

(CTPAT MSC 9.6)

- (●) 是
- ( ) 否

**注释:** *未提供评论*

112 必须 工厂将下列哪些安全技术作为其系统和控制措施的一部分? （选择所有适用项）

**问题指南:** Facility should be able to show auditor security controls available including but not limited to CCTV, security alarms, intrusion detection systems, etc. If selecting "other" detail type of system/controls in notes. Examples: License plate readers, metal detectors.
(CTPAT MSC 9.7)

- [x] 闭路电视
- [x] access control
- [x] security alarm
- [ ] 使用其它技术手段
- [ ] 未使用安全技术

**注释:** Other Technologies: None

113 必须 您是否有管理安全技术使用的记录在案的程序?

**问题指南:** Facilities must maintain a documented policy outlining the use, maintenance, and protection of security technology, such as burglary alarm systems and intrusion detection systems. This policy should define a regular schedule for testing and inspections to ensure all equipment is properly installed and functioning. Only authorized personnel should manage and oversee the security systems. Inspection results must be documented, including any identified issues and the corrective actions taken to maintain system integrity.
(CTPAT MSC 9.8)

- (●) 是
- ( ) 无记录在案的程序
- ( ) 未使用安全技术

**注释:** *未提供评论*

114 材料 安保设备是否由获许可/认证的承包商安装?

**问题指南:** Any security technology used at the facility must be installed by a licensed, certified, or otherwise authentic source as a best practice.
(CTPAT MSC 9.9)

- (●) 是
- ( ) 否
- ( ) 未使用安全技术

**注释:** *未提供评论*

115 材料 您的安保系统有维保合同吗?

**问题指南:** As a best practice, facilities are encouraged to implement regular security technology maintenance. Additionally, facilities should provide a maintenance contract as proof of compliance with this standard.

- (●) 是，有有效合约
- ( ) 没有有效合约
- ( ) 未使用安全技术

**注释:** *未提供评论*

116 必须 关键的安保基础设施所处区域是否受保护,且工厂仅授权因工作之需而进出的人员予以访问?

**问题指南:** Observe the locations of alarm, CCTV infrastructure and control locations to determine if access is limited. Also question management on whom is permitted access.

(CTPAT MSC 9.10)

- (●) 是
- ( ) 否
- ( ) 未使用安全技术

**注释:** *未提供评论*

117 材料 停电时，该工厂是否有备用电力系统，以确保电子安全系统的不间断运行?

**问题指南:** Discuss with management the capability at the facility to produce adequate electrical power during a local power outage to support security systems, lighting, and computer systems. This is a best practice and is encouraged. (Please note battery backup or onsite generators qualify.)

(CTPAT MSC 9.11)

- (●) 是
- ( ) 否
- ( ) 未使用安全技术

**注释:** *未提供评论*

118 危急 是否有用于监控工厂和场所，包括入口、出口、货物存储、运输、包装和其他装卸区域的闭路电视系统? （选择所有适用项）

**问题指南:** Upload a picture of the CCTV control room and monitors. Determine the facility's use of a closed circuit television system. If used, review recordings from the previous day and night to determine if all cameras are working properly with camera coverage of perimeter, entrances, exits, cargo storage, shipping, packing and other loading/unloading areas.
(CTPAT MSC 9.4, 9.12, 9.13)

- [x] 所有入口/出口
- [x] 货物存储/运输区域
- [x] 装卸货区域
- [x] 包装区域
- [x] 外围围墙
- [x] 如果检测到未经授权的访问，闭路电视监控将触发警报
- [ ] 没有闭路电视

**注释:** CCTV were also additionally installed in office area, other production workshops and etc.

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119 材料 您的闭路电视系统是否有指示何时系统离线或未作录制的故障警报?
**问题指南:** Auditor should question management to determine how CCTV recording is validated as functioning properly. This is a best practice and is encouraged that the CCTV system must have a failure alarm or other indication that alerts facility of operational issues.
(CTPAT MSC 9.14)

- (●) 是
- ( ) 否
- ( ) 没有闭路电视

**注释:** *未提供评论*

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120 危急 闭路电视系统是否全天候24小时连续每周七天不间断运行?
**问题指南:** Auditor should question management and ask to see CCTV footage from at least one week prior. View 4 time segments 6 hours apart to ensure 24 hour coverage.
(CTPAT MSC 9.13)

- (●) 是（请附上适用区域的照片）
- ( ) 否
- ( ) 没有闭路电视

411-CCTV.jpg

**注释：** *未提供评论*

121 必须 工厂闭路电视系统是否采用最高质量的图片设置进行录制？

**问题指南：** Auditor should ask what the resolution of the CCTV system is and when the last time system was serviced or upgraded. Also review some footage to see if things like license plate numbers and faces are recognizable when zoomed in on.

(CTPAT MSC 9.13)

- (●) 是
- ( ) 否
- ( ) 没有闭路电视

**注释：** *未提供评论*

122 必须 工厂管理团队是否定期对闭路电视录像进行随机的有记录审查，以确保安全程序得到遵守？

**问题指南：** Auditor should request to see management review documentation of CCTV. Also question management on frequency of reviews and what was an example of the last unusual occurrence that required some type of corrective action. Recorded video must be reviewed frequently by management to ensure documented policies are being followed. Facility must be able to provide evidence showing they are conducing CCTV reviews. Evidence must include the following information: Date, who reviewed it, what was reviewed, whether process was being followed, corrective action plan if needed must be logged. Frequency of review determined on facility's risk assessment and prior review findings. The policy must state the review frequency.

(CTPAT MSC 9.15)

- (●) 是
- ( ) 否
- ( ) 没有闭路电视

**注释：** *未提供评论*

123 危急 闭路电视的记录会留存多少天？

**问题指南：** Auditor should review CCTV footage from one, two, and three months ago to determine available recall achievability. A minimum of 90 days or more is preferred.

(CTPAT MSC 9.16)

- ( ) 90 天或更久

- [x] 45 - 89 天
- [ ] 小于 45 天
- [ ] 未保留记录
- [ ] 没有闭路电视

**注释:** On the audit day, at least 60 day's CCTV records from April 17, 2026 to June 15, 2026 were available for review.

124 必须 员工在工厂期间是否随时展示身份识别卡?

**问题指南:** Observe if employees display their ID badge anytime while at the facility. The badge must be visibly displayed and cannot be in a pocket or wallet.

- [x] 是
- [ ] 携带身份证件但未出示
- [ ] 否

**注释:** *未提供评论*

125 危急 是否制定了记录在案的程序，要求访客在到达时出示带照片的身份证件，并让保安或其他授权员工将其信息记录在日志中？（选择所有适用项）

**问题指南:** Facilities must maintain a documented policy for managing visitor access to ensure security and accountability. An authorized employee or security personnel must verify the identity of each visitor upon arrival and record their details in a visitor log. The log should include the visitor’s name, date and time of arrival, purpose of the visit, and departure time. Additionally, facilities should determine whether visitors are required to present a photo ID for identity verification. A digital record or photograph of the visitor log book should be maintained as part of the facility’s security procedures.
(CTPAT MSC 10.2)

- [x] 记录在案的程序可用
- [x] 查看带有照片的身份证明
- [x] 使用访客登记簿
- [ ] 未制定记录在案的流程

**注释:** *未提供评论*

126 必须 是否制定了记录在案的程序，用于在访客进入和离开工厂的制造、生产或发货区之前，检查其包袋?

**问题指南:** Upon arrival and exit of facility all visitor bags should be checked by guards, management, or other authorized personnel.

- (●) 是
- ( ) 否
- ( ) 是 - 但发现实施中的漏洞

**注释:** *未提供评论*

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127 危急 是否制定了记录在案的程序，要求向访客发放带有编号的访客识别卡，并让其在工厂逗留期间全程佩戴出示?

**问题指南:** Visitors must be given and wear a facility-issued visitor, numbered badge/identification while at the facility. This process must be included in the documented physical security policy.

(CTPAT MSC 10.2)

- (●) 是（请附上适用项目的照片）
- ( ) 否
- ( ) 是 - 但发现实施中的漏洞

435-Visitor badge.jpg

**注释:** *未提供评论*

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128 危急 是否有记录在案的政策，要求访客在工厂逗留期间始终有人陪同?

**问题指南:** All visitors must be escorted by management or other authorized employee while at the facility. This process must be included in the documented physical security policy.

(CTPAT MSC 10.2)

- (●) 是
- ( ) 否
- ( ) 是 - 但发现实施中的漏洞

**注释:** *未提供评论*

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129 材料 是否制定了记录在案的程序，用于在分发前检查所收到的邮件和包裹?

**问题指南:** This is a best practice. Verify that the facility has an established and documented procedure for inspecting all incoming packages and mail to enhance security and prevent the introduction of prohibited, hazardous, or suspicious materials.  The documented procedure must include, at a minimum:

-A designated secure area for receiving and inspecting all incoming mail and packages.

-Visual inspection protocols to identify signs of tampering, leakage, or suspicious labeling.

-Clear criteria for recognizing suspicious packages and instructions for escalating concerns to security or management.

-A logging system to record sender, recipient, date/time received, and inspection results for each package.

-Evidence of training provided to employees who handle incoming mail, covering safe handling practices and how to identify and respond to suspicious packages.

(CTPAT MSC 10.8)

- ◉ 是
- ○ 否
- ○ 是 - 但发现实施中的漏洞

**注释:** *未提供评论*

130 材料 危险品或价值昂贵的物品存储在工厂时是否会隔离存储?

仅在工厂没有价值昂贵的物品和危险材料物品时选择 NA。

**问题指南:** Cargo must be separated based on domestic, international, high value and/or hazardous. This is a best practice and is encouraged.

(CTPAT MSC 9.2)

- ◉ 是
- ○ 否
- ○ N/A

**注释:** *未提供评论*

## 人员安全 100%

131 必须 工厂是否制定了记录在案的程序，用于核实求职申请中提供的信息，如地址、以往工作经历、教育程度、个人和职业推荐人以及任何适用的证书（根据当地法律适用）？

**问题指南:** Facilities are required to maintain a documented policy for verifying information provided in employment applications. This process must include validation of addresses, previous employment history, education, personal and professional references, and certifications. Reference checks, a common practice during the hiring process, involve gathering insights about a candidate from individuals who have had professional or personal interactions with them in the past. Documented procedures must be established to screen prospective employees and periodically review current employees. Verification of application details, such as employment history and references, must be conducted prior to employment, as far as feasible and permissible by law.

(CTPAT MSC 11.1)

- ◉ 政策已记录在案
- ○ 是 - 但发现实施中的漏洞
- ○ 未设任何程序

**注释:** *未提供评论*

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132 必须 该工厂是否制定了记录在案的政策，要求正式和临时工作的求职者提交书面就业申请并提供身份证明?

**问题指南:** Facilities must have a documented policy for validating employment application information. All job applicants must submit a written application and provide proof of their identity. Partial processes are not acceptable - if both are not present and implemented, select the option for not required or collected.

(CTPAT MSC 11.1)

- ◉ 是 - 需要提供和收集书面申请和政府签发的身份证件
- ○ 否 - 无需提供或收集书面申请和政府签发的身份证件（部分流程不可接受）

**注释:** *未提供评论*

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133 必须 在当地法律允许的情形下，是否存在记录在案的程序，用于对在人事、运输或计算机系统等工厂敏感领域工作的求职者和员工进行背景调查？ 此要求也适用于合同工。

仅在当地法律禁止开展背景调查时，选择"不适用"。

**问题指南:** Review the documented procedure for conducting background checks on new hires and current employees, and discuss with HR the methods they use to perform these checks. HR's actions should align closely with the documented procedure's requirements. If background checks are not applicable, the auditor must request the facility to provide evidence, such as local legal provisions or documentation from local law enforcement, confirming that conducting background checks is prohibited under local law.

(CTPAT MSC 11.2)

- ◉ 是，已制定记录在案的程序

- [ ] 没有书面程序文件
- [ ] 是 - 但发现实施中的漏洞
- [ ] N/A

**注释：** *未提供评论*

134 没有 做了什么类型的调查？（请勾选所有适用选项）

- [x] 犯罪背景调查
- [x] 信用调查
- [ ] 其他

**注释：** *未提供评论*

135 必须 工厂是否制定了《员工行为准则》，该准则要求员工和承包商签署确认书，并概述了预期要求、可接受的行为以及处罚或纪律处分程序？

**问题指南：** A Code of Conduct serves to protect the business while clearly outlining expectations for employees. Its primary goal is to establish and uphold a standard of behavior that aligns with the company's values. By doing so, it helps build a professional image and foster a strong ethical culture.

(CTPAT MSC 11.5)

- [x] 是
- [ ] 否
- [ ] 是 - 但发现实施中的漏洞

**注释：** *未提供评论*

## 安全培训和威胁意识 100%

136 必须 是否为所有新员工提供安全威胁意识培训，并为在职员工提供年度巩固课程？ （选择所有适用项）

**问题指南：** Verify whether the facility has a Threat Awareness program in place. If such a program exists, review training records to confirm that new employees receive initial training and that all employees participate in refresher training annually. Training topics may cover safeguarding access controls, identifying internal conspiracies, and reporting procedures for suspicious activities and security incidents. Whenever possible, specialized training should incorporate hands-on demonstrations, allowing trainees the opportunity to practice and demonstrate the procedures. For CTPAT compliance, sensitive positions include employees handling import/export cargo or related documentation, as well as those responsible for managing access to secure areas or equipment. These roles may include shipping and receiving personnel, mailroom staff, drivers, dispatchers, security guards, and employees involved in load assignments, conveyance tracking, and seal controls.

(CTPAT MSC 12.1)

- [x] 制定有培训计划
- [x] 留存培训记录，以确保所需人员参加培训
- [x] 管理人员随机审阅文档
- [x] 每年为所有员工提供培训
- [x] 为新员工提供培训
- [ ] 没有进行威胁意识培训

**注释：** *未提供评论*

137 必须 培训课程结束时是否包含对理解掌握情况进行的评估？（选择所有适用项）

**问题指南：** Auditor should question management to determine if there is an evaluation of effectiveness of understanding. If a minimum score is not achieved, retraining is required. This process should be documented in the training policy.

(CTPAT MSC 12.4)

- [x] 执行了评估
- [x] 如果未达到合格分数，则需要再培训
- [ ] 未执行评估

**注释：** *未提供评论*

138 必须 工厂是否为执行安全和农业检查的员工提供培训？（选择所有适用项）

**问题指南：** Employees in sensitive positions must receive specialized training tailored to their job responsibilities. This training should cover key areas such as IIT inspections, including identifying agricultural security risks, recognizing hidden compartments, and detecting signs of pest contamination. Additional topics include proper cargo handling procedures, verifying the legitimacy of shipping documents, and understanding the specific duties of security personnel. Training must also address procedural security measures related to trade-based money laundering and terrorism financing, as well as cybersecurity protocols and the management of security technology systems. To ensure compliance and accountability, a training log must be maintained, documenting the date of training, names of attendees, and the topics covered. (CTPAT MSC 12.2, 12.7)

- [x] 培训材料列出了具体要求
- [x] 培训包括所有必要主题
- [x] 培训日志列出了在该区域中工作的员工
- [x] 每年为担任此工作职能的新员工提供培训
- [x] 每年为担任此工作职能的现有员工提供培训
- [ ] 对于该特定标准没有培训日志
- [ ] 对于该特定标准没有培训材料

**注释:** *未提供评论*

139 必须 培训是否包括工厂限制区域的安全标准，如最终包装、发货和收货？（选择所有适用项）

**问题指南:** Employees involved in final packing, shipping, and receiving must receive specialized training tailored to their job roles. This training should include access control requirements for sensitive areas, identification of facility-designated sensitive areas requiring restricted access, and an explanation of why these security measures must be followed. Additionally, the training should highlight the risks associated with failing to adhere to access control protocols. To ensure compliance, a training log must be maintained, documenting the date of training, names of attendees, and topics covered.

- [x] 培训材料列出了具体要求
- [x] 培训日志列出了在该区域中工作的员工
- [x] 每年为担任此工作职能的现有员工提供培训
- [x] 每年为担任此工作职能的新员工提供培训
- [ ] 对于该特定标准没有培训日志
- [ ] 对于该特定标准没有培训材料

**注释:** *未提供评论*

140 必须 威胁意识培训是否告知了员工举报可疑活动或安全事件的程序?

**问题指南:** If a facility has a Threat Awareness program, it must ensure that employees are trained to recognize and report suspicious activities or security concerns. The training should clearly outline the types of incidents that require reporting, identify the appropriate personnel or department to notify, and provide detailed procedures for submitting a report. Additionally, employees should understand the necessary steps for addressing and resolving security incidents when applicable.

(CTPAT MSC 12.10)

- (●) 是
- ( ) 否

**注释:** *未提供评论*

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14
1

必须 威胁意识培训是否为发货和收货员工提供了关于门禁控制、IIT 检查以及安全封装控制程序的额外指示？（选择所有适用项）

**问题指南:** If the facility has a Threat Awareness program, determine if training provides additional security information pertaining to shipments to include Instruments of International Traffic (IIT) load, inspections, security seals and issues.

- [x] 培训包括发货和收货控制
- [x] 培训包括如何进行 IIT 检查
- [x] 培训包括 IIT 封条实践
- [x] 培训包括如何管控封条
- [ ] 未对发货和收货人进行特定的额外培训

**注释:** *未提供评论*

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142 必须 培训计划是否包括威胁意识、违禁品、人口走私和恐怖主义?

**问题指南:** Employees must be trained to recognize and report security incidents, including understanding what constitutes a reportable incident, who to notify, and the proper reporting procedures. When applicable, employees should also be informed of the steps to take in resolving an incident. Additionally, the training must cover specific topics such as identifying signs of human smuggling, contraband, and potential terrorism threats.

- (●) 是
- ( ) 否

**注释:** *未提供评论*

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143 必须 当员工报告安全事件或提出改进建议时，工厂是否有认可员工的程序?

**问题指南:** Determine if the facility has a program to provide an incentive or recognition to an employee who reports suspicious activity or a suggestion to improve security. This should be documented in a policy. This is a best practice and is encouraged.

◉ 是

○ 否

**注释:** *未提供评论*

144 必须 培训是否包括识别有害生物污染?

**问题指南:** Auditor should question management to determine if agriculture contamination specific training is included. Review the training document/description of training and any sign-in sheets to validate participation.

◉ 是

○ 否

**注释:** *未提供评论*

145 必须 是否有一个概述网络安全风险的记录在案的培训?

**问题指南:** Cybersecurity is key to safeguarding a company's assets – intellectual property, customer information, financial and trade data, and employee records, among others. With increased connectivity to the internet comes the risk of a breach of information systems. This risk pertains to businesses of all types and sizes. Measures to secure information technology (IT) and data are important, and employees should be trained on risks of cybersecurity. (CTPAT MSC 12.8)

◉ 是

○ 否

**注释:** *未提供评论*

146 必须 是否有记录在案的培训材料，用于规定管理和操作安全技术系统的人员需接受与其特定领域相关的运营和维护培训?

**问题指南:** Verify that the facility has an established and documented training program for all personnel responsible for operating and maintaining security technology systems. This includes, but is not limited to, CCTV, access control, alarm systems, and related infrastructure. (CTPAT MSC 12.9)

◉ 是

○ 否

**注释:** *未提供评论*

## 其他

N/A

147 没有 描述厂房正面，包括任何标示牌。请附上图片。

*没有可用的选择*

501-The front of...jpg

**注释:** One entrance gate was available for the buildings which was manned and controlled by security guards 24 hours/ 7 days and monitored by CCTV system. Security signage was posted on the front of the security guard station requiring that all visitors must be verified against their identifications with photos and logged in. And all employees were required to wear worker badges before entering the facility.

148 没有 描述门卫室和工厂入口。请附上图片。

*没有可用的选择*

503-Security gu... jpg

**注释:** One entrance gate was available for accessing to the facility. Total 5 security guards operated by 2 shifts with 24 hours/ 7 days.

149 没有 描述该地点的建筑及结构。确认哪些建筑包含在审计范围内，以及哪些建筑没有包含在审计范围内。请附上该场地的概览图，并清楚标记所到访的建筑。

*没有可用的选择*

505-Facility buil...jpg

**注释:** The factory building materials (concrete, brick and steel barriers) and construction could provide resistance to unlawful entry and outside intrusion. Moreover, the building structures were regularly inspected by assigned employee once per two hours with records available, all windows could be locked in production buildings.

150 没有 描述发货和收货区。请附上图片。

*没有可用的选择*

507-Shipping an...jpg

**注释:** Based on onsite observation and employees interview, visitors who access to the shipping area, security equipment room etc. would be positively identified and all these areas were restricted and access was physically controlled. Lighting equipped at the receiving and shipping area was adequate.

151 没有 描述如何保护工厂周边免受未经授权的访问？ 请附上图片

*没有可用的选择*

509-Perimeter f... jpg

**注释:** The plant is protected by the perimeter with lights, monitors and infrared systems, and security guards patrolled the plant every two hours and records were kept.

152 没有 描述最终包装区域。请附上图片。

*没有可用的选择*

511-Packing area.jpg

**注释:** Final packaging area is located at packing workshop, with CCTV camera, enough lighting, authorized access staff name list and access restriction warning signs are available onsite.

153 没有 请描述任何国际运输工具 (IIT) 的储存和车辆停放区，并附上图片。

*没有可用的选择*

513-Vehicle par... jpg

**注释:** No container/trailer storage was available in the factory. All containers/trailers arrived at the factory per appointed times and left the factory immediately after loading, so containers/trailers did not need to wait or to be stored in the factory. Vehicle parking area was pre-defined and identified by the factory. And it was monitored by the CCTV system and security guards.

154 没有 工厂代表和审计师是否签署了首次会议书？ 请附上有签名的副本。

- (●) 是 - 请附上已签署的首次/结束会议书
- ( ) 否

PDF

515-Opening an...pdf

**注释:** *未提供评论*

## 附件文件 - 照片

**General - 问题 # 1**


12-Business license.jpg

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## General - 问题 # 5

BSI Training Academy

Certificate of Completion

This document certifies that:

RongLiang Wang

Has completed:

SCAN Factory and Supplier Training Course (Chinese)

Hector Nemoto, Global Training Director

| | | | |
|---|---|---|---|
| Issue date: | 2026-05-26 | Certificate number: | 305460-280519 |
| Score: | 90 | CEUs awarded: | 0.4 |

This certificate remains the property of BSI and is bound by the conditions of contract.

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SCAN
Supplier Compliance
Audit Network

2026/06/15 14:19

21-SCAN training certificate.jpg

### Conveyances and Instruments of International Traffic - 问题 # 46


152-Loading area.jpg

## Conveyances and Instruments of International Traffic - 问题 # 48

| 石狮市飞鸿五金饰品有限公司 | | 文件编号 | FH-FK-001 |
|---|---|---|---|
| | | 版次 | A/0 |
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## 第三十六章　集装箱七点检查法

**1、目的**

为加强集装箱的安全管理，特制定本程序。

**2、范围**

适用于公司所有集装箱

**3、程序**

**3.1前壁**

a) 确定内部各角挡块可见且无误，前壁是由折皱材料构成的。

b) 用 40′ 的尺子测量集装箱的内部尺寸，柜前至后门内测的距离是 40 尺柜应该是 39′ 5″ 或 12.01M，20 尺柜的为 19′ 4″ 或 5.89M。

c) 确认排气口可以看见，没有被异物堵住。

d) 用工具敲打它，确认有空的回声。

**3.2左边**

a) 查看横梁的异常修复

b) 查看侧壁都可见的内外部的修复情况

c) 用工具敲打它，确认有空的回声。

**3.3右边**

a) 查看横梁的异常修复

b) 查看侧壁都可见的内外部的修复情况

c) 用工具敲打它，确认有空的回声。

**3.4地板**

a) 测量底部至顶部的高度， 40 尺柜和 20 尺柜的高度应该为 7′ 10″ 或者是 2.38M。

b) 确认底部是平整，所有的高度是一样的，不能有不同的高度。

c) 检查异常修复情况。

**3.5顶部**

a) 顶部的外形不能使靠内或者靠外，确保是一致的。

b) 查看角上挡块的顶部和距顶部距离。例如，正常情况下，那顶部应稍微低一点或者和角部挡块的顶部齐平。

c) 确认排气口可以看见，没有被异物堵住。

d) 查看内外顶端内外侧异常修复。

**3.6门的内外**

a) 确保门的锁闭系统的可靠性、安全性。

b) 查看铆钉的类型颜色，颜色应该都是一致的且钉子周围没有油污。

c) 确保各孔洞处没有固体异物。

**3.7外部/起落架**

a) 进厂装柜前，检查柜子的底盘和外观。

b) 检查底盘时要用一面镜子以确保所有的支撑横梁是可见的，且没有其他外部的东西固定在起落架上。

c) 在箱子的内部查看外部可见的修复。

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| 石狮市飞鸿五金饰品有限公司 | | 文件编号 | FH-FK-001 |
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| 发布日期 | 2022-4-1 | 页次 | 第 59 页 共 121 页 |

**4、附件图片**

Container Inspection

集装箱七点检查法

5. Front Wall 前壁

顶部

6. Ceiling/ Roof

3. Right Side

右侧

4. Left Side

左侧

7. Floor (Inside)

柜内底板

1. Outside/ Undercarriage

柜外底部

2. Inside/Outside Doors

柜门内外

**5、集装箱数据表**

| 类型 | 外容积 | 内容积 | 配货毛重 | 体积 |
|---|---|---|---|---|
| 20尺柜 | 20英尺*20英尺*8英尺6 | 5.69M*2. 13M*2. 18M | 17.5吨 | 24~26立方米 |
| 20尺开顶柜 | 20英尺*20英尺*8英尺6 | 5.89M*2.32M*2.31M | 20吨 | 31.5立方米 |
| 20尺平底货柜 | 20英尺*20英尺*8英尺6 | 5.85M*2.23M*2. 15M | 23吨 | 28立方米 |
| 40尺柜 | 40英尺*40英尺*8英尺6 | 11.8M*2. 13M*2. 18M | 22吨 | 54立方米 |
| 40尺高柜 | 40英尺*40英尺*9英尺6 | 11.8M*2. 13M*2.72M | 22吨 | 68立方米 |
| 40尺开顶柜 | 40英尺*40英尺*8英尺6 | 12.01M*2.33M*2. 15M | 30.4吨 | 65立方米 |
| 40尺平底货柜 | 40英尺*40英尺*8英尺6 | 12.05M*2. 12M*1.96M | 36吨 | 50立方米 |
| 45尺高柜 | 45英尺*45英尺*9英尺6 | 13.58M*2.34M*2.71M | 29吨 | 86立方米 |

2026/06/15 14:24

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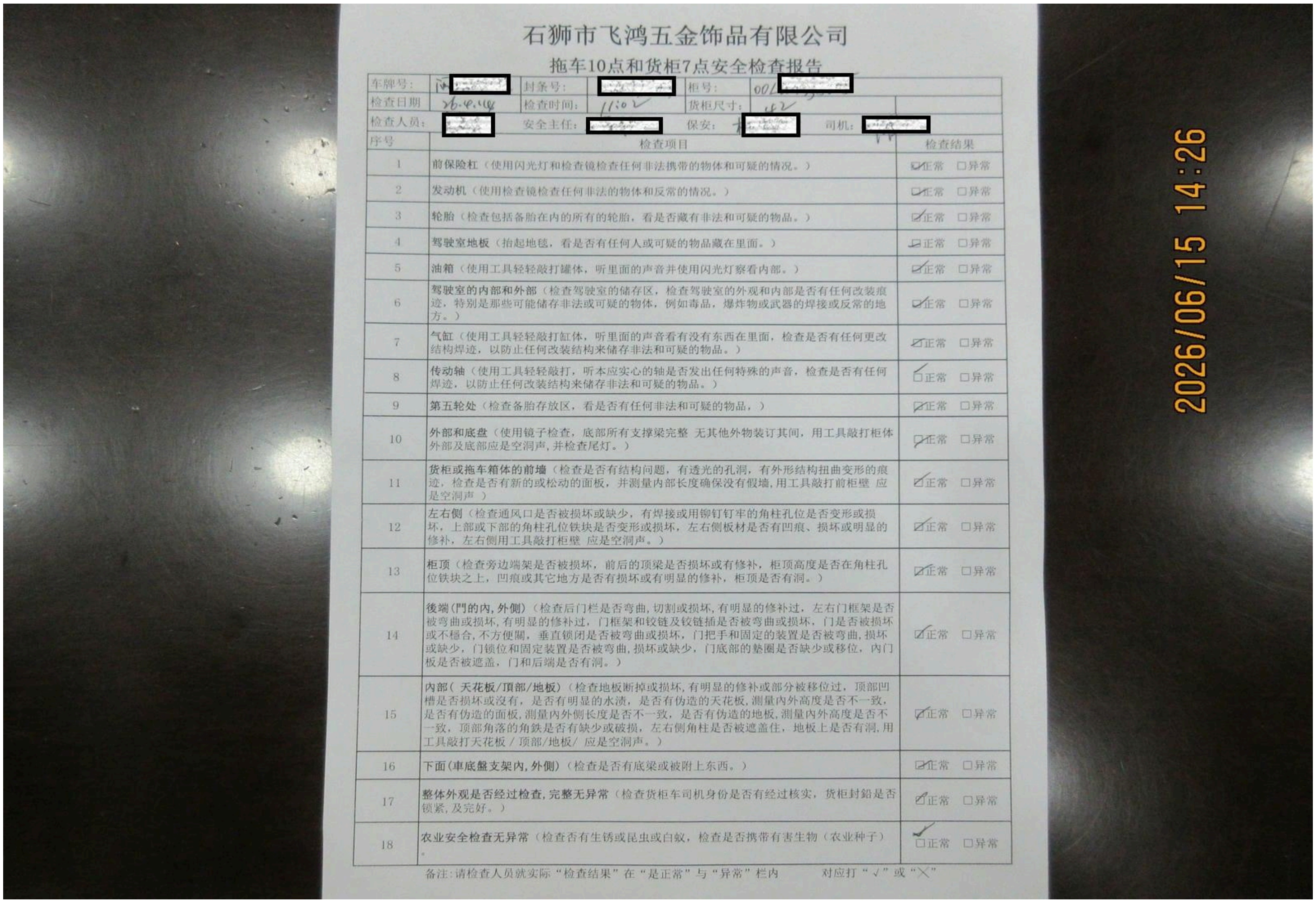
159-Security integrity of an IIT inspection procedure.jpg

## Conveyances and Instruments of International Traffic - 问题 # 49



石狮市飞鸿五金饰品有限公司

拖车10点和货柜7点安全检查报告

| 车牌号: | [redacted] | 封条号: | [redacted] | 柜号: | [redacted] |
|---|---|---|---|---|---|
| 检查日期 | 26.6.14 | 检查时间: | 11:00 | 货柜尺寸: | 42 |
| 检查人员: | [redacted] | 安全主任: | [redacted] | 保安: | [redacted] |
| 司机: | [redacted] | | | | |

| 序号 | 检查项目 | 检查结果 |
|---|---|---|
| 1 | **前保险杠**（使用闪光灯和检查镜检查任何非法携带的物体和可疑的情况。） | ☑正常 □异常 |
| 2 | **发动机**（使用检查镜检查任何非法的物体和反常的情况。） | ☑正常 □异常 |
| 3 | **轮胎**（检查包括备胎在内的所有的轮胎，看是否藏有非法和可疑的物品。） | ☑正常 □异常 |
| 4 | **驾驶室地板**（抬起地毯，看是否有任何人或可疑的物品藏在里面。） | ☑正常 □异常 |
| 5 | **油箱**（使用工具轻轻敲打罐体，听里面的声音并使用闪光灯察看内部。） | ☑正常 □异常 |
| 6 | **驾驶室的内部和外部**（检查驾驶室的储存区，检查驾驶室的外观和内部是否有任何改装痕迹，特别是那些可能储存非法或可疑的物体，例如毒品，爆炸物或武器的焊接或反常的地方。） | ☑正常 □异常 |
| 7 | **气缸**（使用工具轻轻敲打缸体，听里面的声音看有没有东西在里面，检查是否有任何更改结构焊迹，以防止任何改装结构来储存非法和可疑的物品。） | ☑正常 □异常 |
| 8 | **传动轴**（使用工具轻轻敲打，听本应实心的轴是否发出任何特殊的声音，检查是否有任何焊迹，以防止任何改装结构来储存非法和可疑的物品。） | ☑正常 □异常 |
| 9 | **第五轮处**（检查备胎存放区，看是否有任何非法和可疑的物品，） | ☑正常 □异常 |
| 10 | **外部和底盘**（使用镜子检查，底部所有支撑梁完整 无其他外物装订其间，用工具敲打柜体外部及底部应是空洞声，并检查尾灯。） | ☑正常 □异常 |
| 11 | **货柜或拖车箱体的前墙**（检查是否有结构问题，有透光的孔洞，有外形结构扭曲变形的痕迹，检查是否有新的或松动的面板，并测量内部长度确保没有假墙，用工具敲打前柜壁 应是空洞声 ） | ☑正常 □异常 |
| 12 | **左右侧**（检查通风口是否被损坏或缺少，有焊接或用铆钉钉牢的角柱孔位是否变形或损坏，上部或下部的角柱孔位铁块是否变形或损坏，左右侧板材是否有凹痕、损坏或明显的修补，左右侧用工具敲打柜壁 应是空洞声。） | ☑正常 □异常 |
| 13 | **柜顶**（检查旁边端架是否被损坏，前后的顶梁是否损坏或有修补，柜顶高度是否在角柱孔位铁块之上，凹痕或其它地方是否有损坏或有明显的修补，柜顶是否有洞。） | ☑正常 □异常 |
| 14 | **後端(門的內,外側)**（检查后门栏是否弯曲，切割或损坏，有明显的修补过，左右门框架是否被弯曲或损坏，有明显的修补过，门框架和铰链及铰链插是否被弯曲或损坏，门是否被损坏或不穩合，不方便關，垂直锁闭是否被弯曲或损坏，门把手和固定的装置是否被弯曲，损坏或缺少，门锁位和固定装置是否被弯曲，损坏或缺少，门底部的垫圈是否缺少或移位，内门板是否被遮盖，门和后端是否有洞。） | ☑正常 □异常 |
| 15 | **内部（ 天花板/顶部/地板）**（检查地板断掉或损坏，有明显的修补或部分被移位过，顶部凹槽是否损坏或沒有，是否有明显的水渍，是否有伪造的天花板，测量内外高度是否不一致，是否有伪造的面板，测量内外侧长度是否不一致，是否有伪造的地板，测量内外高度是否不一致，顶部角落的角铁是否有缺少或破损，左右侧角柱是否被遮盖住，地板上是否有洞，用工具敲打天花板 / 顶部/地板/ 应是空洞声。） | ☑正常 □异常 |
| 16 | **下面(車底盤支架內,外側)**（检查是否有底梁或被附上东西。） | ☑正常 □异常 |
| 17 | **整体外观是否经过检查，完整无异常**（检查货柜车司机身份是否有经过核实，货柜封鉛是否锁紧，及完好。） | ☑正常 □异常 |
| 18 | **农业安全检查无异常**（检查否有生锈或昆虫或白蚁，检查是否携带有害生物（农业种子）。 | ☑正常 □异常 |

备注：请检查人员就实际“检查结果”在“是正常”与“异常”栏内　对应打“√”或“X”



162-Container inspection record.jpg

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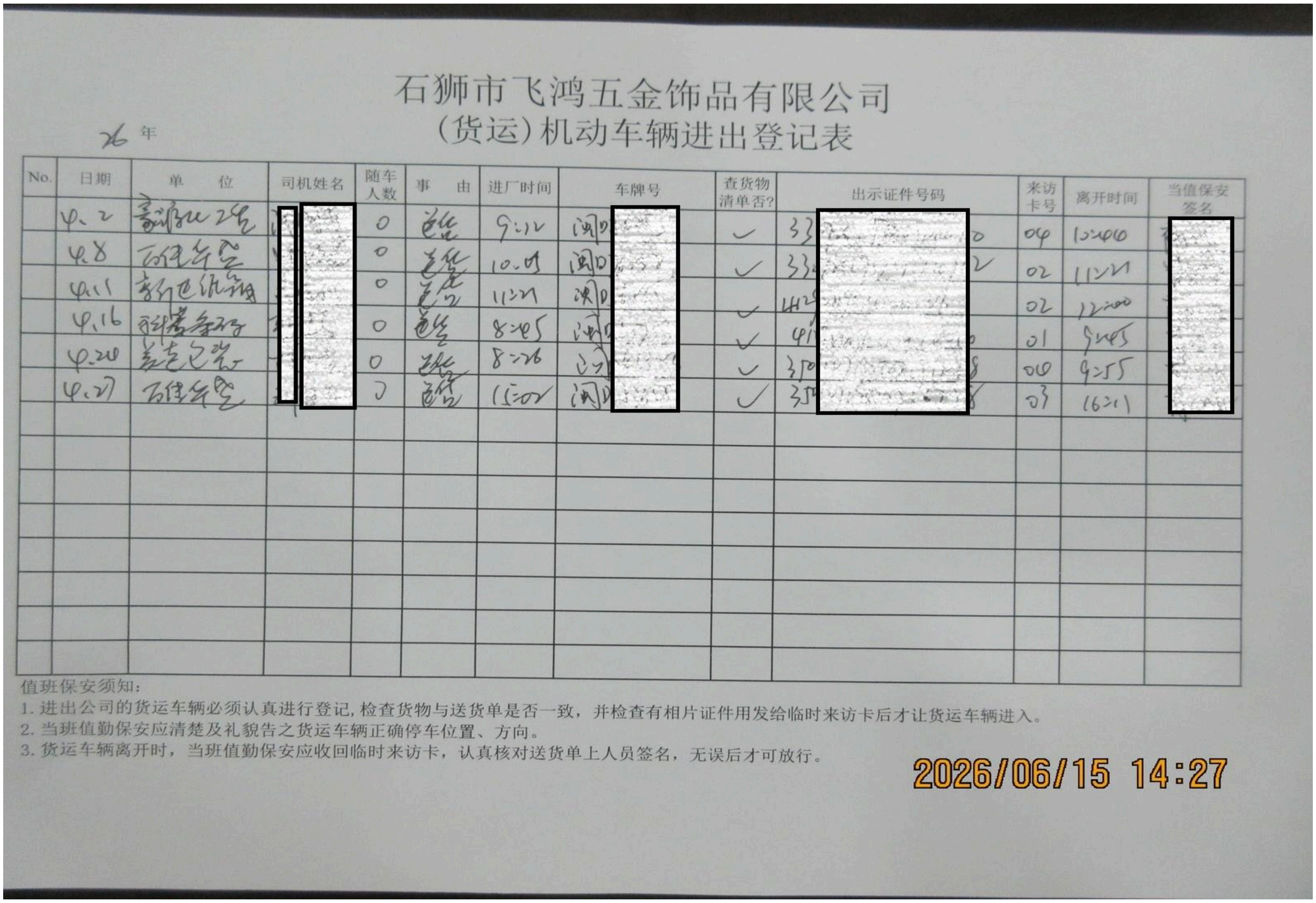
## Conveyances and Instruments of International Traffic - 问题 # 52


177-Container inspection equipment.jpg

### Conveyances and Instruments of International Traffic - 问题 # 62



石狮市飞鸿五金饰品有限公司
（货运）机动车辆进出登记表

26 年

| No. | 日期 | 单　位 | 司机姓名 | 随车人数 | 事　由 | 进厂时间 | 车牌号 | 查货物清单否? | 出示证件号码 | 来访卡号 | 离开时间 | 当值保安签名 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 4.2 | [illegible] | [redacted] | 0 | 送货 | 9:12 | 闽D[redacted] | ✓ | [redacted] | 04 | 10:40 | [redacted] |
| | 4.8 | 石佳纸塑 | [redacted] | 0 | 送货 | 10:05 | 闽D[redacted] | ✓ | [redacted] | 02 | 11:21 | [redacted] |
| | 4.11 | [illegible] | [redacted] | 0 | 送货 | 11:21 | 闽D[redacted] | ✓ | [redacted] | 02 | 12:00 | [redacted] |
| | 4.16 | [illegible] | [redacted] | 0 | 送货 | 8:45 | 闽D[redacted] | ✓ | [redacted] | 01 | 9:45 | [redacted] |
| | 4.20 | [illegible] | [redacted] | 0 | 送货 | 8:26 | 闽D[redacted] | ✓ | [redacted] | 00 | 9:55 | [redacted] |
| | 4.27 | 石佳纸塑 | [redacted] | 0 | 送货 | 15:02 | 闽D[redacted] | ✓ | [redacted] | 03 | 16:21 | [redacted] |

值班保安须知:
1. 进出公司的货运车辆必须认真进行登记，检查货物与送货单是否一致，并检查有相片证件用发给临时来访卡后才让货运车辆进入。
2. 当班值勤保安应清楚及礼貌告之货运车辆正确停车位置、方向。
3. 货运车辆离开时，当班值勤保安应收回临时来访卡，认真核对送货单上人员签名，无误后才可放行。

2026/06/15 14:27

214-Driver log.jpg

## Conveyances and Instruments of International Traffic - 问题 # 70


239-Seal on container.jpg

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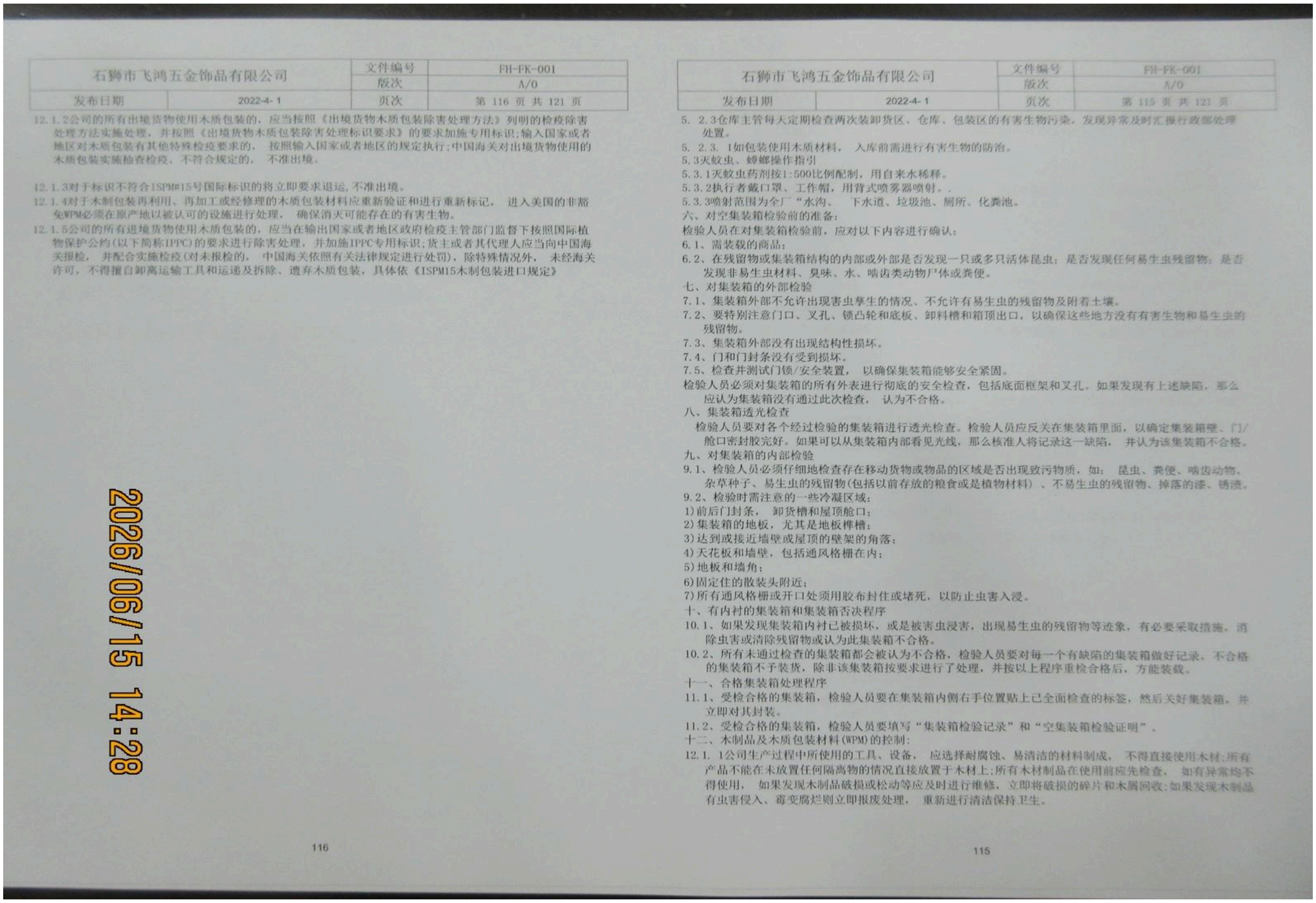
### Agricultural Security - 问题 # 75



| 石狮市飞鸿五金饰品有限公司 | | 文件编号 | FH-FK-001 |
|---|---|---|---|
| | | 版次 | A/0 |
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12.1.2公司的所有出境货物使用木质包装的，应当按照《出境货物木质包装除害处理方法》列明的检疫除害处理方法实施处理，并按照《出境货物木质包装除害处理标识要求》的要求加施专用标识；输入国家或者地区对木质包装有其他特殊检疫要求的，按照输入国家或者地区的规定执行；中国海关对出境货物使用的木质包装实施抽查检疫，不符合规定的，不准出境。

12.1.3对于标识不符合ISPM#15号国际标识的将立即要求退运，不准出境。

12.1.4对于木制包装再利用、再加工或经修理的木质包装材料应重新验证和进行重新标记，进入美国的非豁免WPM必须在原产地以被认可的设施进行处理，确保消灭可能存在的有害生物。

12.1.5公司的所有进境货物使用木质包装的，应当在输出国家或者地区政府检疫主管部门监督下按照国际植物保护公约(以下简称IPPC)的要求进行除害处理，并加施IPPC专用标识；货主或者其代理人应当向中国海关报检，并配合实施检疫(对未报检的，中国海关依照有关法律规定进行处罚)，除特殊情况外，未经海关许可，不得擅自卸离运输工具和运递及拆除、遗弃木质包装，具体依《ISPM15木制包装进口规定》

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2026/06/15 14:28

| 石狮市飞鸿五金饰品有限公司 | | 文件编号 | FH-FK-001 |
|---|---|---|---|
| | | 版次 | A/0 |
| 发布日期 | 2022-4-1 | 页次 | 第 115 页 共 121 页 |

5. 2.3仓库主管每天定期检查两次装卸货区、仓库、包装区的有害生物污染。发现异常及时汇报行政部处理处置。

5. 2.3. 1如包装使用木质材料，入库前需进行有害生物的防治。

5.3灭蚊虫、蟑螂操作指引

5.3.1灭蚊虫药剂按1:500比例配制，用自来水稀释。

5.3.2执行者戴口罩、工作帽，用背式喷雾器喷射。.

5.3.3喷射范围为全厂“水沟、 下水道、垃圾池、厕所、化粪池。

六、对空集装箱检验前的准备：

检验人员在对集装箱检验前，应对以下内容进行确认：

6.1、需装载的商品；

6.2、在残留物或集装箱结构的内部或外部是否发现一只或多只活体昆虫；是否发现任何易生虫残留物；是否发现非易生虫材料、臭味、水、啮齿类动物尸体或粪便。

七、对集装箱的外部检验

7.1、集装箱外部不允许出现害虫孳生的情况、不允许有易生虫的残留物及附着土壤。

7.2、要特别注意门口、叉孔、锁凸轮和底板、卸料槽和箱顶出口，以确保这些地方没有有害生物和易生虫的残留物。

7.3、集装箱外部没有出现结构性损坏。

7.4、门和门封条没有受到损坏。

7.5、检查并测试门锁/安全装置，以确保集装箱能够安全紧固。

检验人员必须对集装箱的所有外表进行彻底的安全检查，包括底面框架和叉孔。如果发现有上述缺陷，那么应认为集装箱没有通过此次检查，认为不合格。

八、集装箱透光检查

检验人员要对各个经过检验的集装箱进行透光检查。检验人员应反关在集装箱里面，以确定集装箱壁、门/舱口密封胶完好。如果可以从集装箱内部看见光线，那么核准人将记录这一缺陷，并认为该集装箱不合格。

九、对集装箱的内部检验

9.1、检验人员必须仔细地检查存在移动货物或物品的区域是否出现致污物质，如：昆虫、粪便、啮齿动物、杂草种子、易生虫的残留物(包括以前存放的粮食或是植物材料)、不易生虫的残留物、掉落的漆、锈渍。

9.2、检验时需注意的一些冷凝区域：

1)前后门封条，卸货槽和屋顶舱口；

2)集装箱的地板，尤其是地板榫槽；

3)达到或接近墙壁或屋顶的壁架的角落；

4)天花板和墙壁，包括通风格栅在内；

5)地板和墙角；

6)固定住的散装头附近；

7)所有通风格栅或开口处须用胶布封住或堵死，以防止虫害入浸。

十、有内衬的集装箱和集装箱否决程序

10.1、如果发现集装箱内衬已被损坏，或是被害虫浸害，出现易生虫的残留物等迹象，有必要采取措施，消除虫害或清除残留物或认为此集装箱不合格。

10.2、所有未通过检查的集装箱都会被认为不合格，检验人员要对每一个有缺陷的集装箱做好记录，不合格的集装箱不予装货，除非该集装箱按要求进行了处理，并按以上程序重检合格后，方能装载。

十一、合格集装箱处理程序

11.1、受检合格的集装箱，检验人员要在集装箱内侧右手位置贴上已全面检查的标签，然后关好集装箱，并立即对其封装。

11.2、受检合格的集装箱，检验人员要填写“集装箱检验记录”和“空集装箱检验证明”。

十二、木制品及木质包装材料(WPM)的控制：

12.1. 1公司生产过程中所使用的工具、设备，应选择耐腐蚀、易清洁的材料制成，不得直接使用木材；所有产品不能在未放置任何隔离物的情况直接放置于木材上；所有木材制品在使用前应先检查，如有异常均不得使用，如果发现木制品破损或松动等应及时进行维修，立即将破损的碎片和木屑回收；如果发现木制品有虫害侵入、霉变腐烂则立即报废处理，重新进行清洁保持卫生。

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255-Pest inspection and control procedure.jpg

**Procedural Security - 问题 # 85**


304-Loading area with CCTV camera installed.jpg

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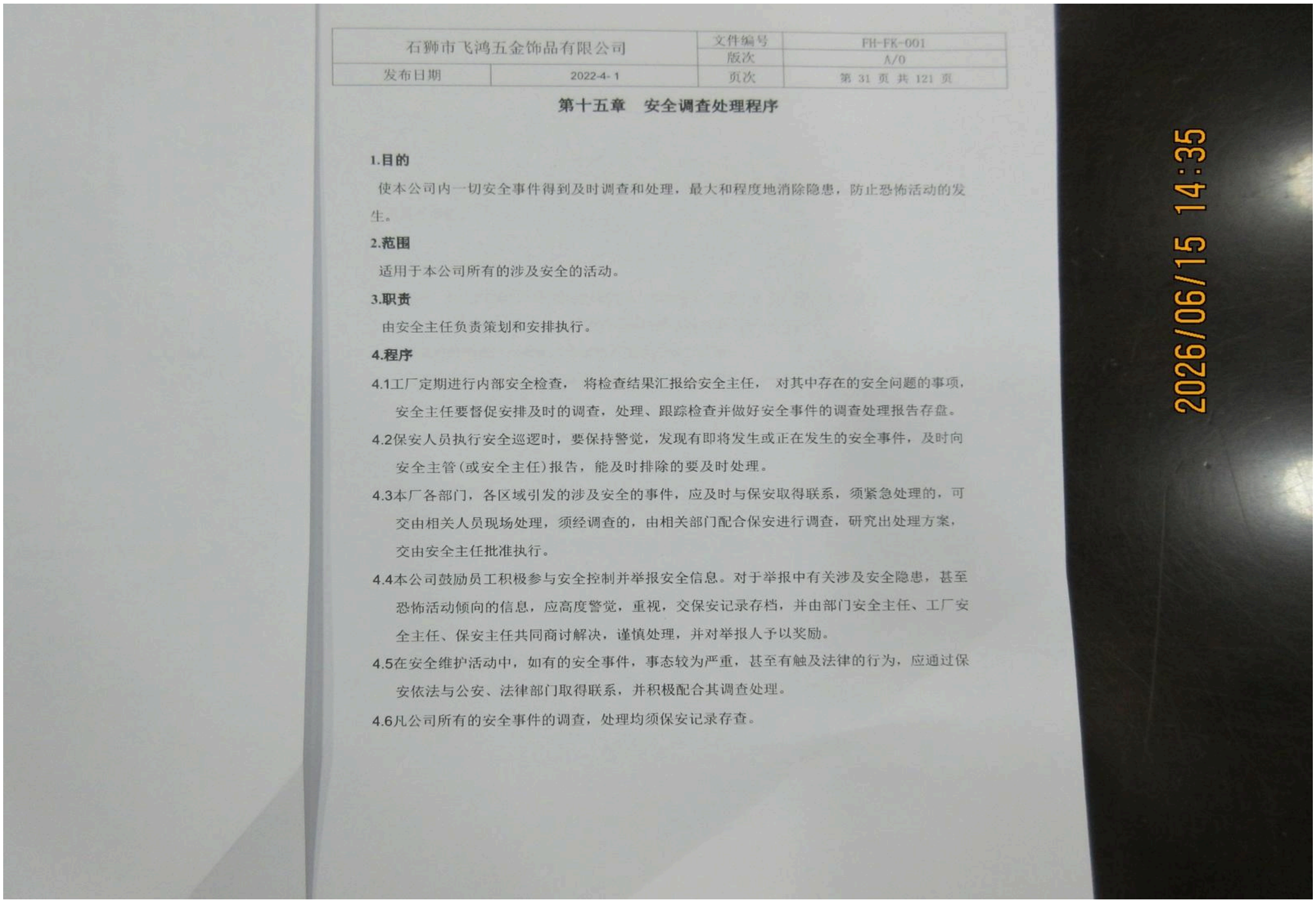
### Procedural Security - 问题 # 86



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第十五章　安全调查处理程序

**1.目的**

使本公司内一切安全事件得到及时调查和处理，最大和程度地消除隐患，防止恐怖活动的发生。

**2.范围**

适用于本公司所有的涉及安全的活动。

**3.职责**

由安全主任负责策划和安排执行。

**4.程序**

4.1工厂定期进行内部安全检查， 将检查结果汇报给安全主任， 对其中存在的安全问题的事项，安全主任要督促安排及时的调查，处理、跟踪检查并做好安全事件的调查处理报告存盘。

4.2保安人员执行安全巡逻时，要保持警觉，发现有即将发生或正在发生的安全事件，及时向安全主管(或安全主任)报告，能及时排除的要及时处理。

4.3本厂各部门，各区域引发的涉及安全的事件，应及时与保安取得联系，须紧急处理的，可交由相关人员现场处理，须经调查的，由相关部门配合保安进行调查，研究出处理方案，交由安全主任批准执行。

4.4本公司鼓励员工积极参与安全控制并举报安全信息。对于举报中有关涉及安全隐患，甚至恐怖活动倾向的信息，应高度警觉，重视，交保安记录存档，并由部门安全主任、工厂安全主任、保安主任共同商讨解决，谨慎处理，并对举报人予以奖励。

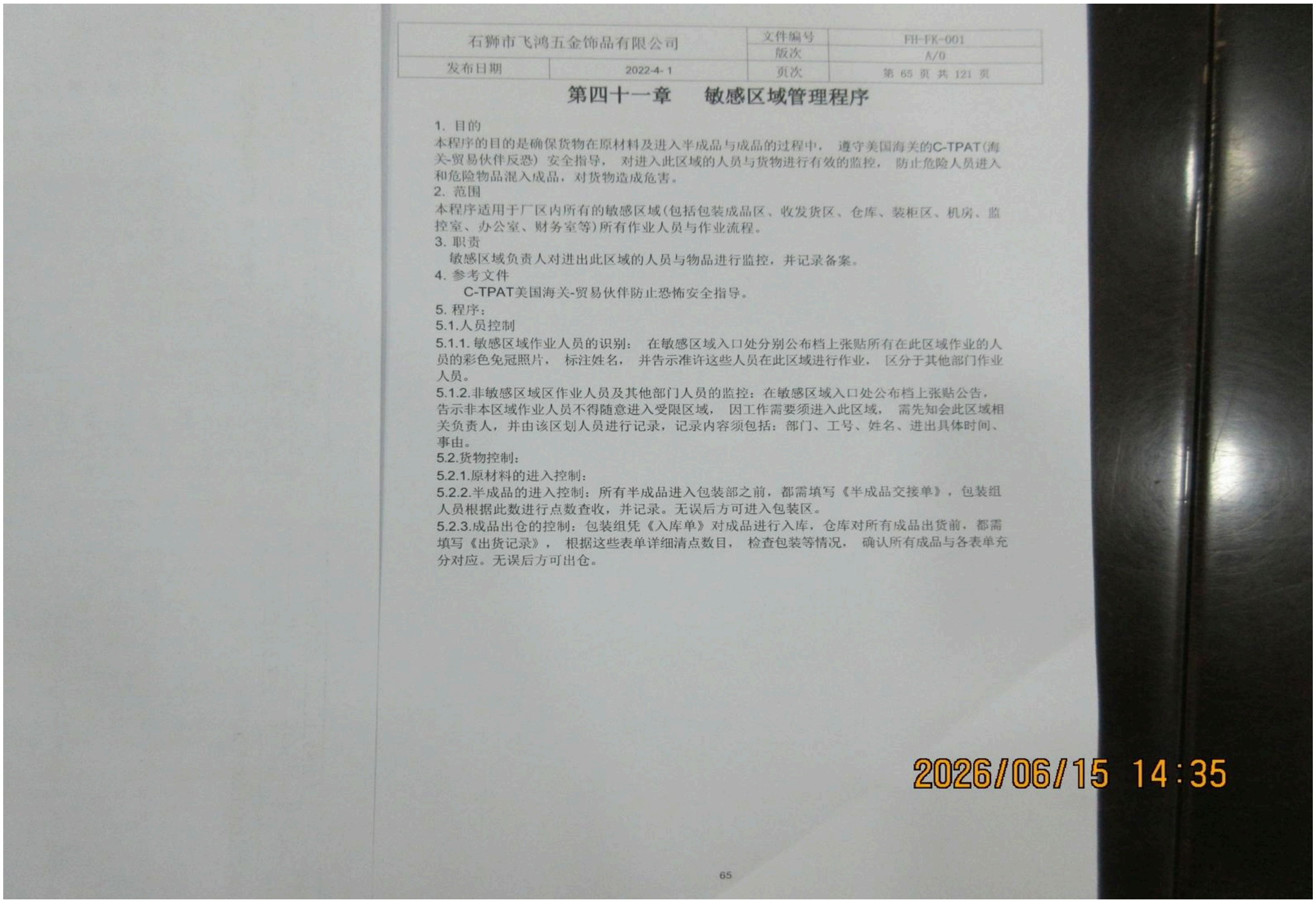
4.5在安全维护活动中，如有的安全事件，事态较为严重，甚至有触及法律的行为，应通过保安依法与公安、法律部门取得联系，并积极配合其调查处理。

4.6凡公司所有的安全事件的调查，处理均须保安记录存查。



306-Unauthorized access reporting procedure.jpg

## Procedural Security - 问题 # 87



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第四十一章　　敏感区域管理程序

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

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308-Sensitive area management procedure.jpg

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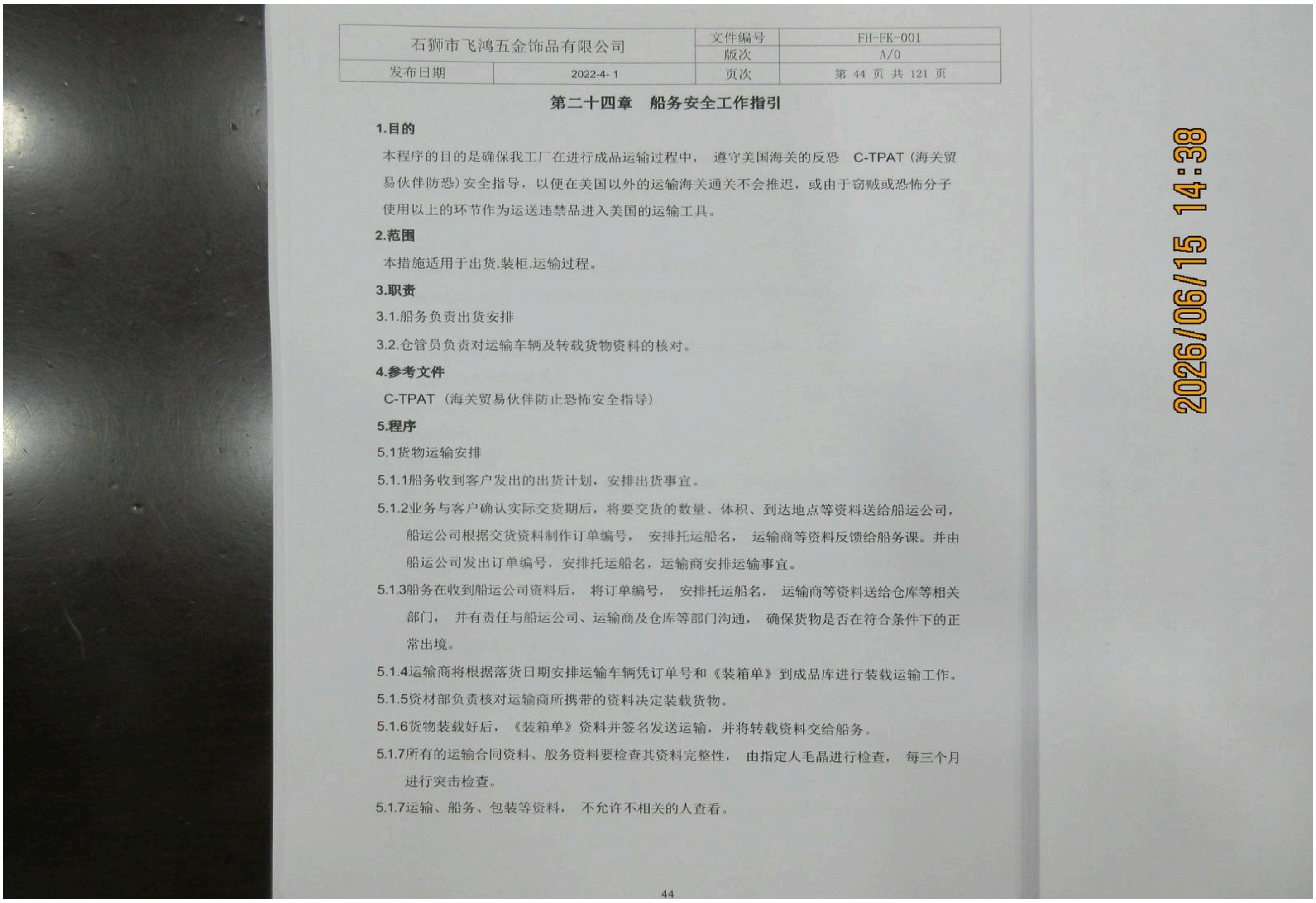
## Procedural Security - 问题 # 88



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第二十四章　船务安全工作指引

**1.目的**

本程序的目的是确保我工厂在进行成品运输过程中， 遵守美国海关的反恐 C-TPAT（海关贸易伙伴防恐）安全指导，以便在美国以外的运输海关通关不会推迟，或由于窃贼或恐怖分子使用以上的环节作为运送违禁品进入美国的运输工具。

**2.范围**

本措施适用于出货.装柜.运输过程。

**3.职责**

3.1.船务负责出货安排

3.2.仓管员负责对运输车辆及转载货物资料的核对。

**4.参考文件**

C-TPAT（海关贸易伙伴防止恐怖安全指导）

**5.程序**

5.1货物运输安排

5.1.1船务收到客户发出的出货计划，安排出货事宜。

5.1.2业务与客户确认实际交货期后，将要交货的数量、体积、到达地点等资料送给船运公司，船运公司根据交货资料制作订单编号， 安排托运船名， 运输商等资料反馈给船务课。并由船运公司发出订单编号，安排托运船名，运输商安排运输事宜。

5.1.3船务在收到船运公司资料后， 将订单编号， 安排托运船名， 运输商等资料送给仓库等相关部门， 并有责任与船运公司、运输商及仓库等部门沟通， 确保货物是否在符合条件下的正常出境。

5.1.4运输商将根据落货日期安排运输车辆凭订单号和《装箱单》到成品库进行装载运输工作。

5.1.5资材部负责核对运输商所携带的资料决定装载货物。

5.1.6货物装载好后， 《装箱单》资料并签名发送运输，并将转载资料交给船务。

5.1.7所有的运输合同资料、服务资料要检查其资料完整性， 由指定人毛晶进行检查， 每三个月进行突击检查。

5.1.7运输、船务、包装等资料， 不允许不相关的人查看。

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311-Shipping document management procedure.jpg

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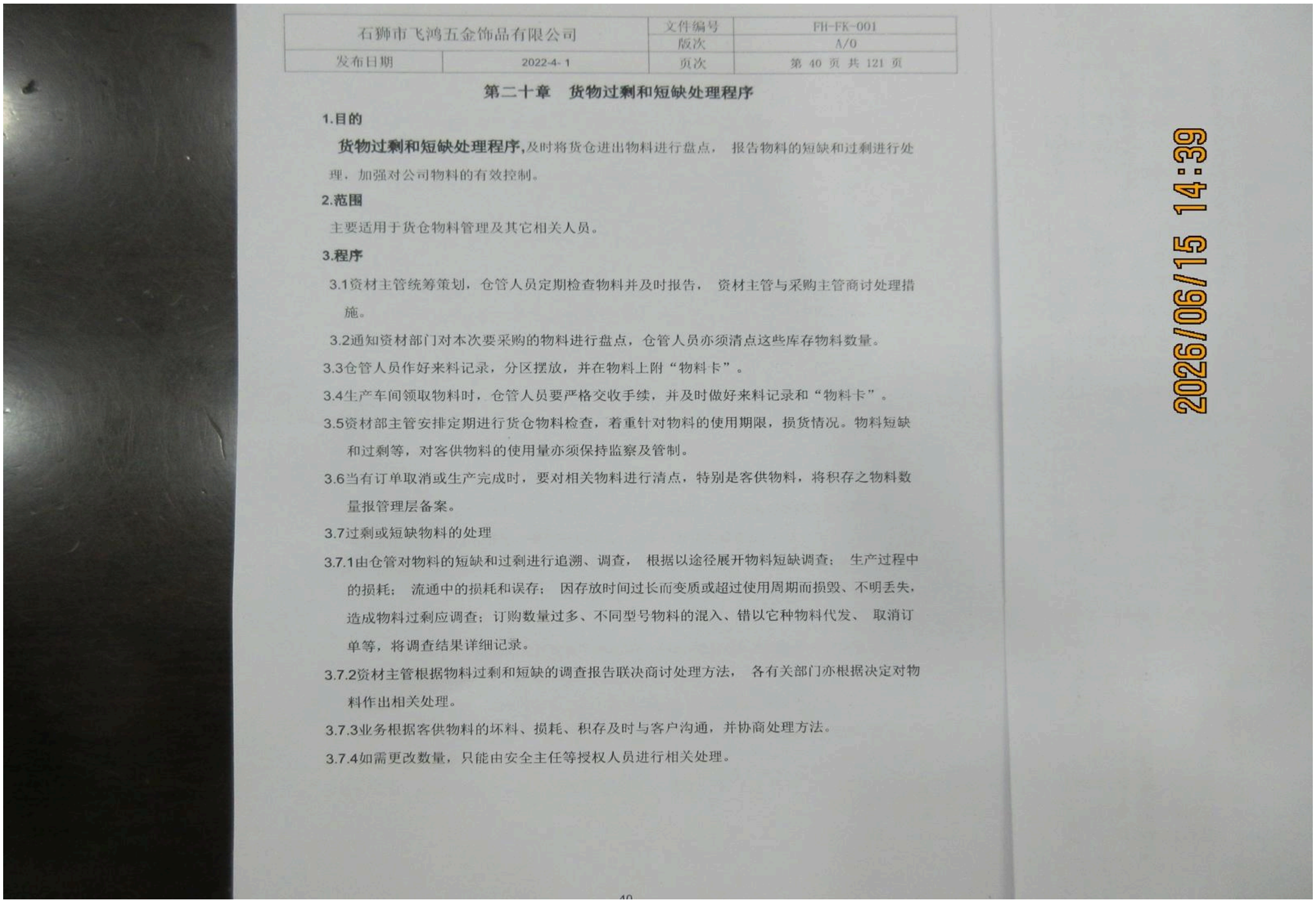
## Procedural Security - 问题 # 89



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第二十章　货物过剩和短缺处理程序

**1.目的**

**货物过剩和短缺处理程序，**及时将货仓进出物料进行盘点， 报告物料的短缺和过剩进行处理，加强对公司物料的有效控制。

**2.范围**

主要适用于货仓物料管理及其它相关人员。

**3.程序**

3.1资材主管统筹策划，仓管人员定期检查物料并及时报告， 资材主管与采购主管商讨处理措施。

3.2通知资材部门对本次要采购的物料进行盘点，仓管人员亦须清点这些库存物料数量。

3.3仓管人员作好来料记录，分区摆放，并在物料上附"物料卡"。

3.4生产车间领取物料时，仓管人员要严格交收手续，并及时做好来料记录和"物料卡"。

3.5资材部主管安排定期进行货仓物料检查，着重针对物料的使用期限，损货情况。物料短缺和过剩等，对客供物料的使用量亦须保持监察及管制。

3.6当有订单取消或生产完成时，要对相关物料进行清点，特别是客供物料，将积存之物料数量报管理层备案。

3.7过剩或短缺物料的处理

3.7.1由仓管对物料的短缺和过剩进行追溯、调查， 根据以途径展开物料短缺调查： 生产过程中的损耗； 流通中的损耗和误存； 因存放时间过长而变质或超过使用周期而损毁、不明丢失，造成物料过剩应调查：订购数量过多、不同型号物料的混入、错以它种物料代发、 取消订单等，将调查结果详细记录。

3.7.2资材主管根据物料过剩和短缺的调查报告联决商讨处理方法， 各有关部门亦根据决定对物料作出相关处理。

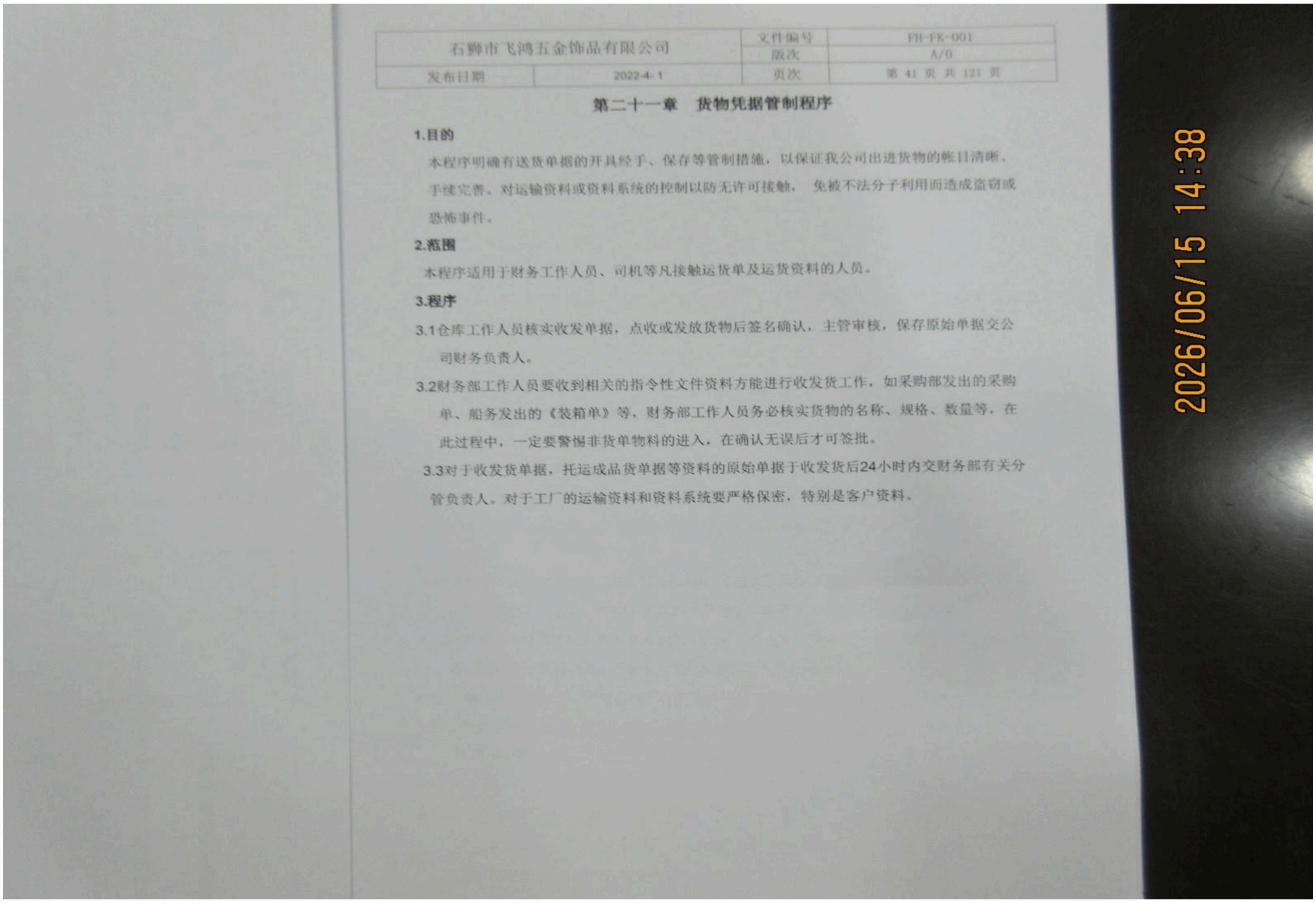
3.7.3业务根据客供物料的坏料、损耗、积存及时与客户沟通，并协商处理方法。

3.7.4如需更改数量，只能由安全主任等授权人员进行相关处理。



314-Cargo shortage and overage management procedure.jpg

## Procedural Security - 问题 # 90



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第二十一章　货物凭据管制程序

**1.目的**

本程序明确有送货单据的开具经手、保存等管制措施，以保证我公司出进货物的帐目清晰、手续完善。对运输资料或资料系统的控制以防无许可接触，免被不法分子利用而造成盗窃或恐怖事件。

**2.范围**

本程序适用于财务工作人员、司机等凡接触运货单及运货资料的人员。

**3.程序**

3.1仓库工作人员核实收发单据，点收或发放货物后签名确认，主管审核，保存原始单据交公司财务负责人。

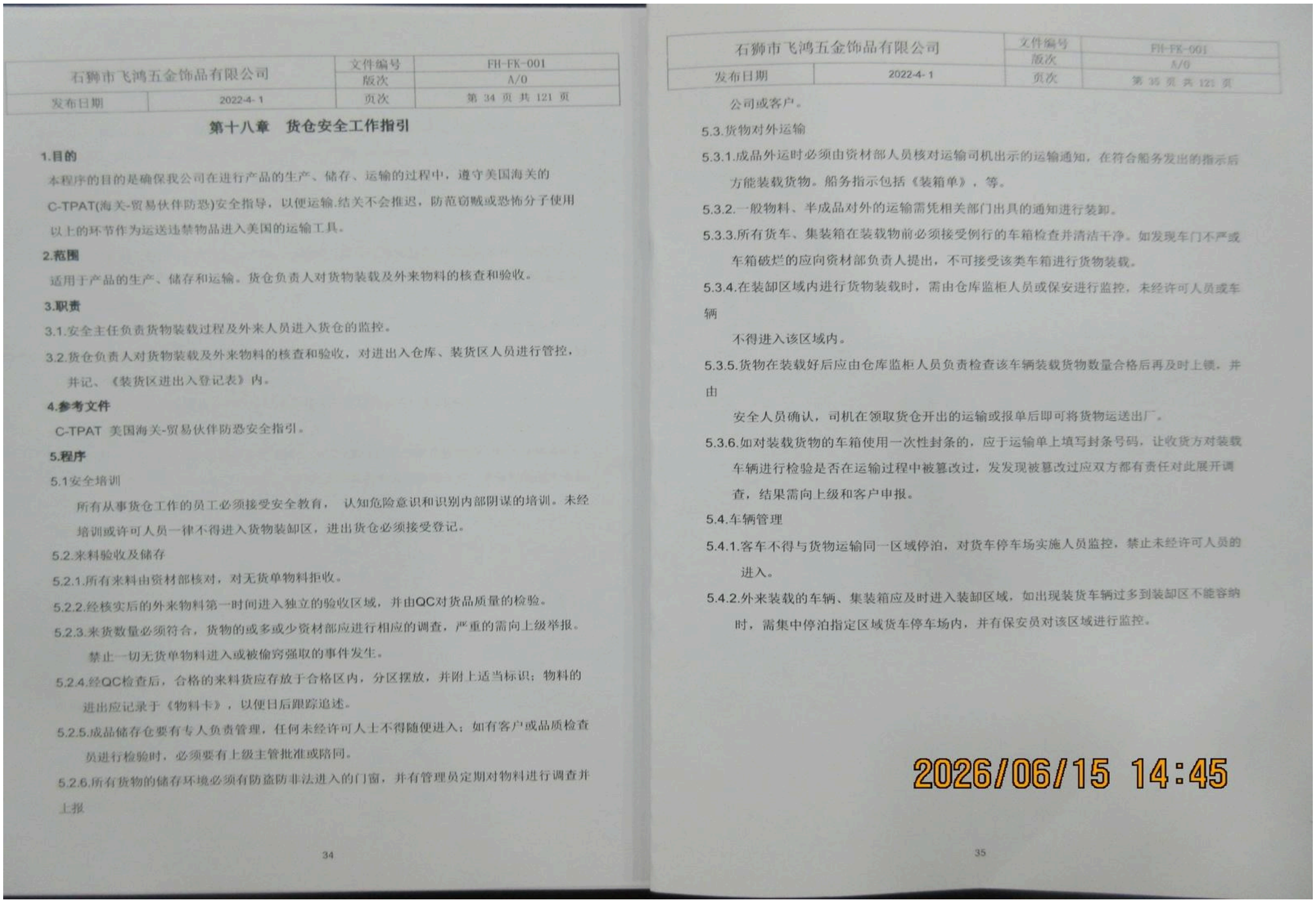
3.2财务部工作人员要收到相关的指令性文件资料方能进行收发货工作，如采购部发出的采购单、船务发出的《装箱单》等，财务部工作人员务必核实货物的名称、规格、数量等，在此过程中，一定要警惕非货单物料的进入，在确认无误后才可签批。

3.3对于收发货单据，托运成品货单据等资料的原始单据于收发货后24小时内交财务部有关分管负责人。对于工厂的运输资料和资料系统要严格保密，特别是客户资料。



317-Shipping document.jpg

## Procedural Security - 问题 # 91



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第十八章　货仓安全工作指引

**1.目的**

本程序的目的是确保我公司在进行产品的生产、储存、运输的过程中，遵守美国海关的C-TPAT(海关-贸易伙伴防恐)安全指导，以便运输.结关不会推迟，防范窃贼或恐怖分子使用以上的环节作为运送违禁物品进入美国的运输工具。

**2.范围**

适用于产品的生产、储存和运输。货仓负责人对货物装载及外来物料的核查和验收。

**3.职责**

3.1.安全主任负责货物装载过程及外来人员进入货仓的监控。

3.2.货仓负责人对货物装载及外来物料的核查和验收，对进出入仓库、装货区人员进行管控，并记、《装货区进出入登记表》内。

**4.参考文件**

C-TPAT 美国海关-贸易伙伴防恐安全指引。

**5.程序**

5.1安全培训

所有从事货仓工作的员工必须接受安全教育， 认知危险意识和识别内部阴谋的培训。未经培训或许可人员一律不得进入货物装卸区，进出货仓必须接受登记。

5.2.来料验收及储存

5.2.1.所有来料由资材部核对，对无货单物料拒收。

5.2.2.经核实后的外来物料第一时间进入独立的验收区域，并由QC对货品质量的检验。

5.2.3.来货数量必须符合，货物的或多或少资材部应进行相应的调查，严重的需向上级举报。禁止一切无货单物料进入或被偷窍强取的事件发生。

5.2.4.经QC检查后，合格的来料货应存放于合格区内，分区摆放，并附上适当标识；物料的进出应记录于《物料卡》，以便日后跟踪追述。

5.2.5.成品储存仓要有专人负责管理，任何未经许可人士不得随便进入；如有客户或品质检查员进行检验时，必须要有上级主管批准或陪同。

5.2.6.所有货物的储存环境必须有防盗防非法进入的门窗，并有管理员定期对物料进行调查并上报

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公司或客户。

5.3.货物对外运输

5.3.1.成品外运时必须由资材部人员核对运输司机出示的运输通知，在符合船务发出的指示后方能装载货物。船务指示包括《装箱单》，等。

5.3.2.一般物料、半成品对外的运输需凭相关部门出具的通知进行装卸。

5.3.3.所有货车、集装箱在装载物前必须接受例行的车箱检查并清洁干净。如发现车门不严或车箱破烂的应向资材部负责人提出，不可接受该类车箱进行货物装载。

5.3.4.在装卸区域内进行货物装载时，需由仓库监柜人员或保安进行监控，未经许可人员或车辆

不得进入该区域内。

5.3.5.货物在装载好后应由仓库监柜人员负责检查该车辆装载货物数量合格后再及时上锁，并由

安全人员确认，司机在领取货仓开出的运输或报单后即可将货物运送出厂。

5.3.6.如对装载货物的车箱使用一次性封条的，应于运输单上填写封条号码，让收货方对装载车辆进行检验是否在运输过程中被篡改过，发发现被篡改过应双方都有责任对此展开调查，结果需向上级和客户申报。

5.4.车辆管理

5.4.1.客车不得与货物运输同一区域停泊，对货车停车场实施人员监控，禁止未经许可人员的进入。

5.4.2.外来装载的车辆、集装箱应及时进入装卸区域，如出现装货车辆过多到装卸区不能容纳时，需集中停泊指定区域货车停车场内，并有保安员对该区域进行监控。

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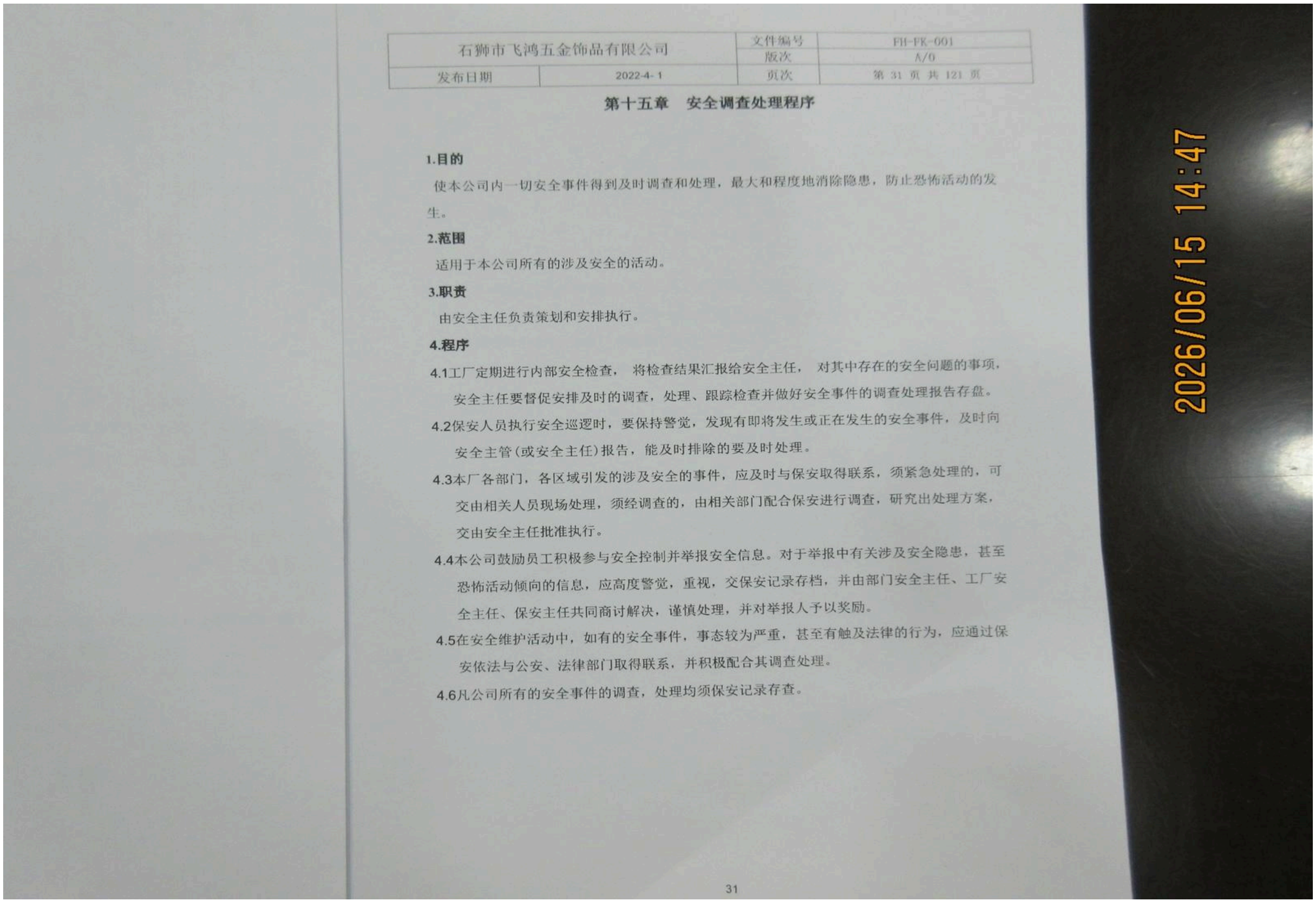
321-Shipping document restriction management procedure.jpg

## Procedural Security - 问题 # 95



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**第十五章　安全调查处理程序**

**1.目的**

使本公司内一切安全事件得到及时调查和处理，最大和程度地消除隐患，防止恐怖活动的发生。

**2.范围**

适用于本公司所有的涉及安全的活动。

**3.职责**

由安全主任负责策划和安排执行。

**4.程序**

4.1工厂定期进行内部安全检查， 将检查结果汇报给安全主任， 对其中存在的安全问题的事项，安全主任要督促安排及时的调查，处理、跟踪检查并做好安全事件的调查处理报告存盘。

4.2保安人员执行安全巡逻时，要保持警觉，发现有即将发生或正在发生的安全事件，及时向安全主管(或安全主任)报告，能及时排除的要及时处理。

4.3本厂各部门，各区域引发的涉及安全的事件，应及时与保安取得联系，须紧急处理的，可交由相关人员现场处理，须经调查的，由相关部门配合保安进行调查，研究出处理方案，交由安全主任批准执行。

4.4本公司鼓励员工积极参与安全控制并举报安全信息。对于举报中有关涉及安全隐患，甚至恐怖活动倾向的信息，应高度警觉，重视，交保安记录存档，并由部门安全主任、工厂安全主任、保安主任共同商讨解决，谨慎处理，并对举报人予以奖励。

4.5在安全维护活动中，如有的安全事件，事态较为严重，甚至有触及法律的行为，应通过保安依法与公安、法律部门取得联系，并积极配合其调查处理。

4.6凡公司所有的安全事件的调查，处理均须保安记录存查。

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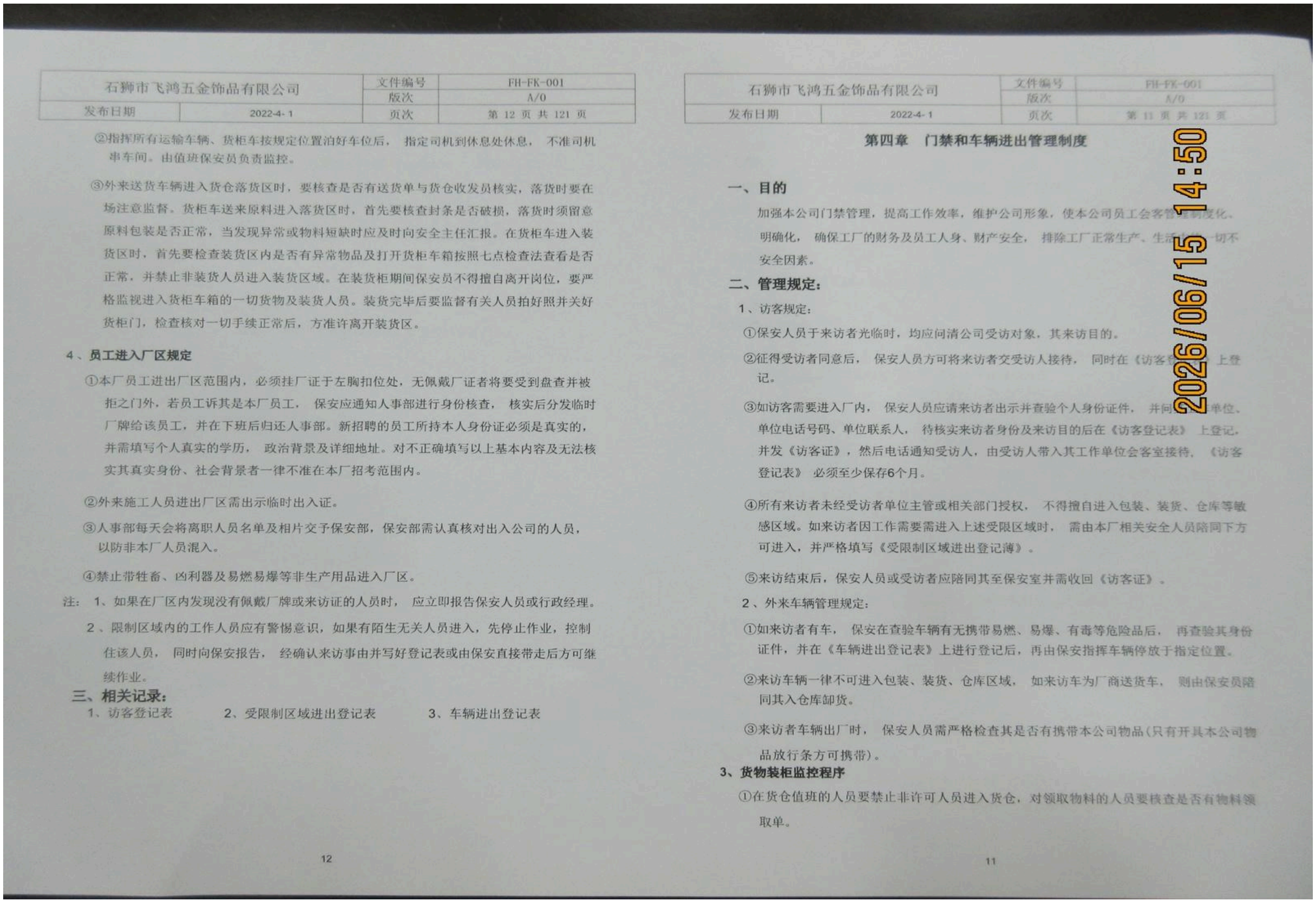
333-Emergency handling procedure.jpg

## Procedural Security - 问题 # 96



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②指挥所有运输车辆、货柜车按规定位置泊好车位后， 指定司机到休息处休息， 不准司机串车间。由值班保安员负责监控。

③外来送货车辆进入货仓落货区时，要核查是否有送货单与货仓收发员核实，落货时要在场注意监督。货柜车送来原料进入落货区时，首先要核查封条是否破损，落货时须留意原料包装是否正常，当发现异常或物料短缺时应及时向安全主任汇报。在货柜车进入装货区时，首先要检查装货区内是否有异常物品及打开货柜车箱按照七点检查法查看是否正常，并禁止非装货人员进入装货区域。在装货柜期间保安员不得擅自离开岗位，要严格监视进入货柜车箱的一切货物及装货人员。装货完毕后要监督有关人员拍好照并关好货柜门，检查核对一切手续正常后，方准许离开装货区。

**4、员工进入厂区规定**

①本厂员工进出厂区范围内，必须挂厂证于左胸扣位处，无佩戴厂证者将要受到盘查并被拒之门外，若员工诉其是本厂员工， 保安应通知人事部进行身份核查， 核实后分发临时厂牌给该员工，并在下班后归还人事部。新招聘的员工所持本人身份证必须是真实的，并需填写个人真实的学历， 政治背景及详细地址。对不正确填写以上基本内容及无法核实其真实身份、社会背景者一律不准在本厂招考范围内。

②外来施工人员进出厂区需出示临时出入证。

③人事部每天会将离职人员名单及相片交予保安部，保安部需认真核对出入公司的人员，以防非本厂人员混入。

④禁止带牲畜、凶利器及易燃易爆等非生产用品进入厂区。

注： 1、如果在厂区内发现没有佩戴厂牌或来访证的人员时， 应立即报告保安人员或行政经理。

2、限制区域内的工作人员应有警惕意识，如果有陌生无关人员进入，先停止作业，控制住该人员， 同时向保安报告， 经确认来访事由并写好登记表或由保安直接带走后方可继续作业。

**三、相关记录：**

1、访客登记表　　2、受限制区域进出登记表　　3、车辆进出登记表

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**第四章　门禁和车辆进出管理制度**

**一、目的**

加强本公司门禁管理，提高工作效率，维护公司形象，使本公司员工会客管[illegible]制度化、明确化， 确保工厂的财务及员工人身、财产安全， 排除工厂正常生产、生[illegible]一切不安全因素。

**二、管理规定：**

1、访客规定：

①保安人员于来访者光临时，均应问清公司受访对象，其来访目的。

②征得受访者同意后， 保安人员方可将来访者交受访人接待， 同时在《访客[illegible] 上登记。

③如访客需要进入厂内， 保安人员应请来访者出示并查验个人身份证件， 并问[illegible]单位、单位电话号码、单位联系人， 待核实来访者身份及来访目的后在《访客登记表》 上登记，并发《访客证》，然后电话通知受访人，由受访人带入其工作单位会客室接待，《访客登记表》 必须至少保存6个月。

④所有来访者未经受访者单位主管或相关部门授权， 不得擅自进入包装、装货、仓库等敏感区域。如来访者因工作需要需进入上述受限区域时， 需由本厂相关安全人员陪同下方可进入，并严格填写《受限制区域进出登记薄》。

⑤来访结束后，保安人员或受访者应陪同其至保安室并需收回《访客证》。

2、外来车辆管理规定：

①如来访者有车， 保安在查验车辆有无携带易燃、易爆、有毒等危险品后， 再查验其身份证件，并在《车辆进出登记表》上进行登记后，再由保安指挥车辆停放于指定位置。

②来访车辆一律不可进入包装、装货、仓库区域， 如来访车为厂商送货车， 则由保安员陪同其入仓库卸货。

③来访者车辆出厂时， 保安人员需严格检查其是否有携带本公司物品(只有开具本公司物品放行条方可携带)。

**3、货物装柜监控程序**

①在货仓值班的人员要禁止非许可人员进入货仓，对领取物料的人员要核查是否有物料领取单。

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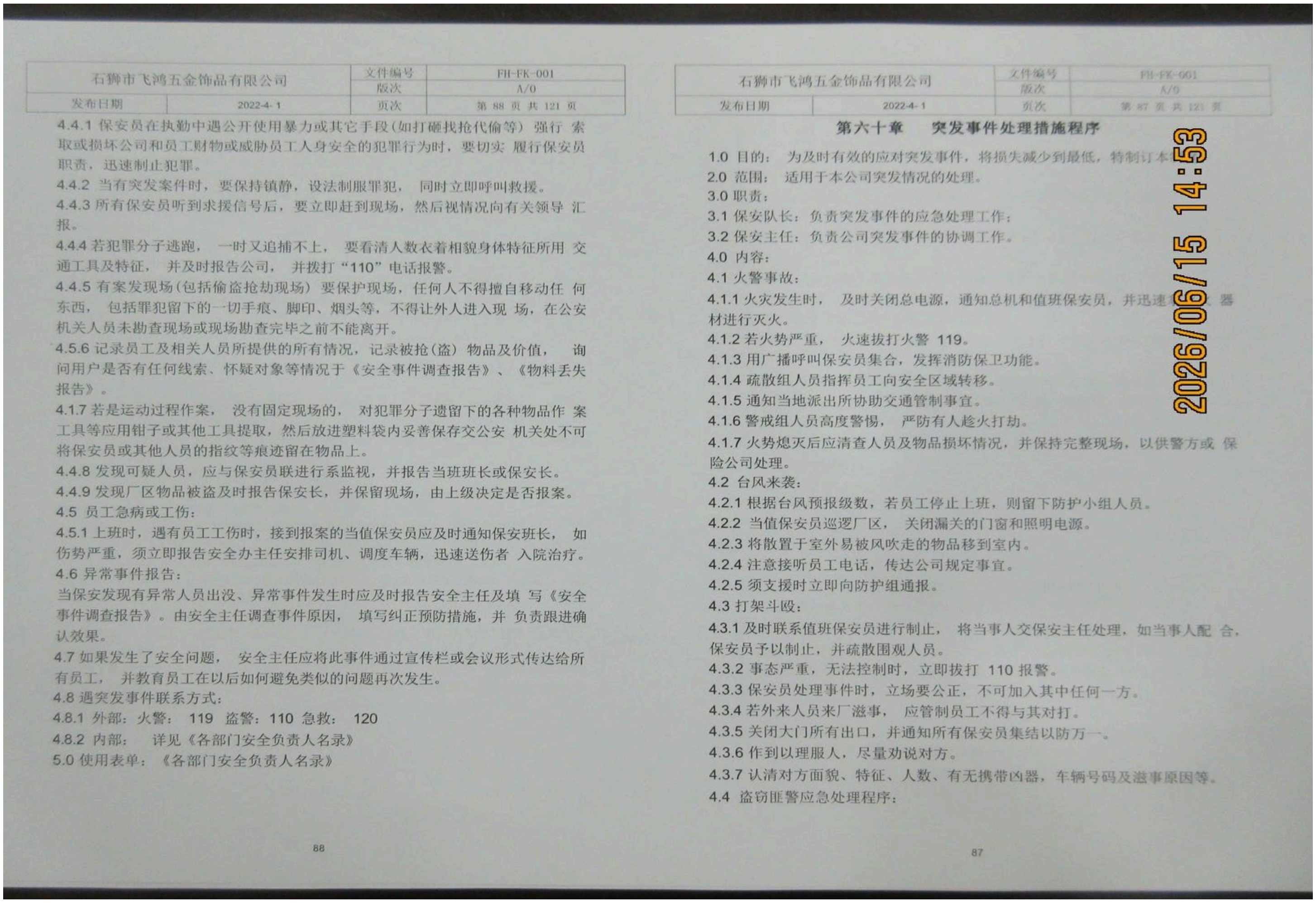
335-Access control procedure.jpg

### Procedural Security - 问题 # 97



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4.4.1 保安员在执勤中遇公开使用暴力或其它手段(如打砸抢代偷等) 强行 索取或损坏公司和员工财物或威胁员工人身安全的犯罪行为时，要切实 履行保安员职责，迅速制止犯罪。

4.4.2 当有突发案件时，要保持镇静，设法制服罪犯， 同时立即呼叫救援。

4.4.3 所有保安员听到求援信号后，要立即赶到现场，然后视情况向有关领导 汇报。

4.4.4 若犯罪分子逃跑， 一时又追捕不上， 要看清人数衣着相貌身体特征所用 交通工具及特征， 并及时报告公司， 并拨打“110”电话报警。

4.4.5 有案发现场(包括偷盗抢劫现场) 要保护现场，任何人不得擅自移动任 何东西， 包括罪犯留下的一切手痕、脚印、烟头等，不得让外人进入现 场，在公安机关人员未勘查现场或现场勘查完毕之前不能离开。

4.5.6 记录员工及相关人员所提供的所有情况，记录被抢(盗) 物品及价值， 询问用户是否有任何线索、怀疑对象等情况于《安全事件调查报告》、《物料丢失报告》。

4.1.7 若是运动过程作案， 没有固定现场的， 对犯罪分子遗留下的各种物品作 案工具等应用钳子或其他工具提取，然后放进塑料袋内妥善保存交公安 机关处不可将保安员或其他人员的指纹等痕迹留在物品上。

4.4.8 发现可疑人员，应与保安员联进行系监视，并报告当班班长或保安长。

4.4.9 发现厂区物品被盗及时报告保安长，并保留现场，由上级决定是否报案。

4.5 员工急病或工伤：

4.5.1 上班时，遇有员工工伤时，接到报案的当值保安员应及时通知保安班长， 如伤势严重，须立即报告安全办主任安排司机、调度车辆，迅速送伤者 入院治疗。

4.6 异常事件报告：

当保安发现有异常人员出没、异常事件发生时应及时报告安全主任及填 写《安全事件调查报告》。由安全主任调查事件原因， 填写纠正预防措施，并 负责跟进确认效果。

4.7 如果发生了安全问题， 安全主任应将此事件通过宣传栏或会议形式传达给所有员工， 并教育员工在以后如何避免类似的问题再次发生。

4.8 遇突发事件联系方式：

4.8.1 外部：火警： 119 盗警：110 急救： 120

4.8.2 内部： 详见《各部门安全负责人名录》

5.0 使用表单：《各部门安全负责人名录》

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### 第六十章 突发事件处理措施程序

1.0 目的： 为及时有效的应对突发事件，将损失减少到最低，特制订本

2.0 范围： 适用于本公司突发情况的处理。

3.0 职责：

3.1 保安队长：负责突发事件的应急处理工作；

3.2 保安主任：负责公司突发事件的协调工作。

4.0 内容：

4.1 火警事故：

4.1.1 火灾发生时， 及时关闭总电源，通知总机和值班保安员，并迅速 器材进行灭火。

4.1.2 若火势严重， 火速拔打火警 119。

4.1.3 用广播呼叫保安员集合，发挥消防保卫功能。

4.1.4 疏散组人员指挥员工向安全区域转移。

4.1.5 通知当地派出所协助交通管制事宜。

4.1.6 警戒组人员高度警惕， 严防有人趁火打劫。

4.1.7 火势熄灭后应清查人员及物品损坏情况，并保持完整现场，以供警方或 保险公司处理。

4.2 台风来袭：

4.2.1 根据台风预报级数，若员工停止上班，则留下防护小组人员。

4.2.2 当值保安员巡逻厂区， 关闭漏关的门窗和照明电源。

4.2.3 将散置于室外易被风吹走的物品移到室内。

4.2.4 注意接听员工电话，传达公司规定事宜。

4.2.5 须支援时立即向防护组通报。

4.3 打架斗殴：

4.3.1 及时联系值班保安员进行制止， 将当事人交保安主任处理，如当事人配 合，保安员予以制止，并疏散围观人员。

4.3.2 事态严重，无法控制时，立即拔打 110 报警。

4.3.3 保安员处理事件时，立场要公正，不可加入其中任何一方。

4.3.4 若外来人员来厂滋事， 应管制员工不得与其对打。

4.3.5 关闭大门所有出口，并通知所有保安员集结以防万一。

4.3.6 作到以理服人，尽量劝说对方。

4.3.7 认清对方面貌、特征、人数、有无携带凶器，车辆号码及滋事原因等。

4.4 盗窃匪警应急处理程序：

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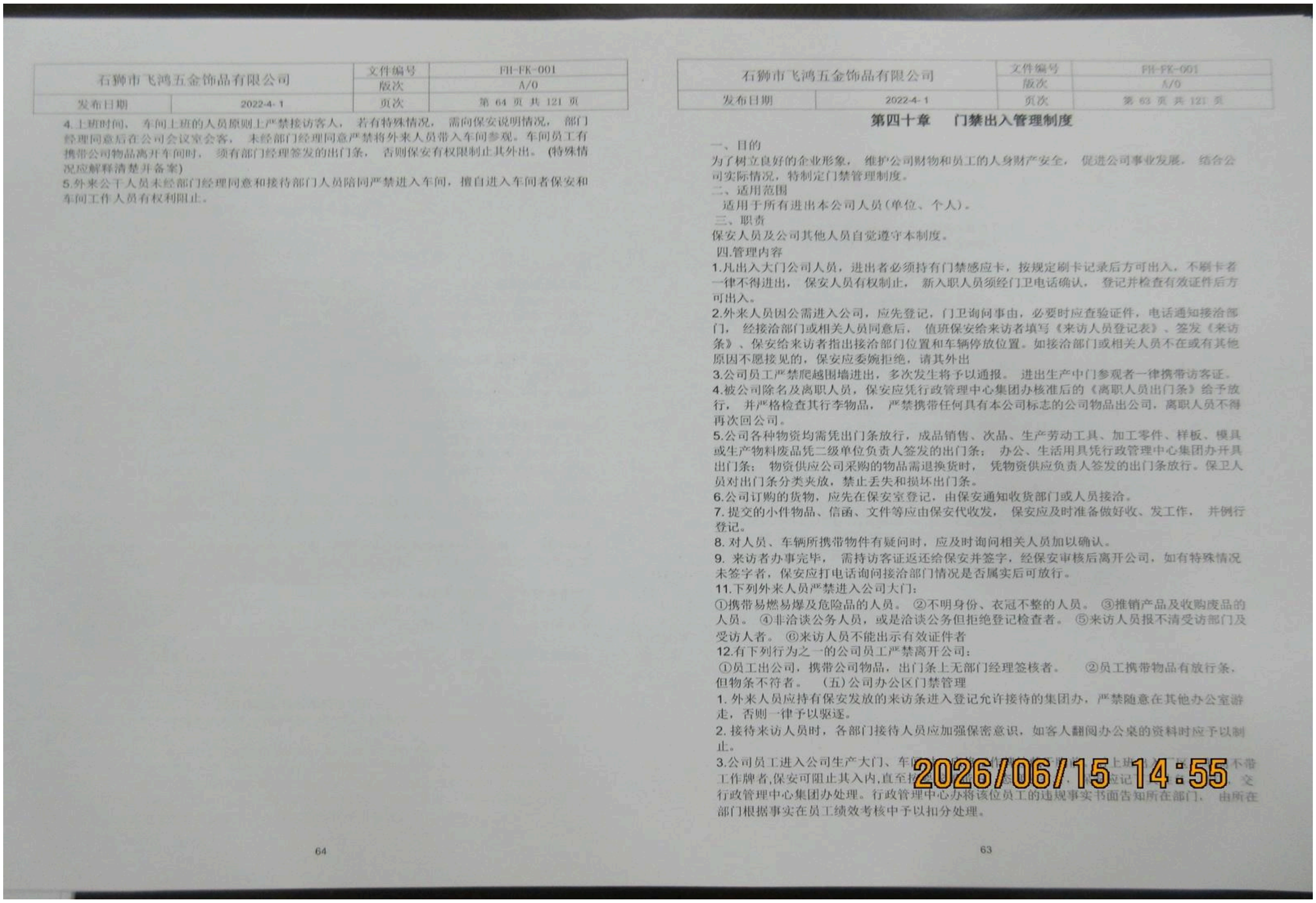
338-Abnormal event reporting procedure.jpg

## Procedural Security - 问题 # 99



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4.上班时间， 车间上班的人员原则上严禁接访客人， 若有特殊情况， 需向保安说明情况， 部门经理同意后在公司会议室会客， 未经部门经理同意严禁将外来人员带入车间参观。车间员工有携带公司物品离开车间时， 须有部门经理签发的出门条， 否则保安有权限制止其外出。 (特殊情况应解释清楚并备案)

5.外来公干人员未经部门经理同意和接待部门人员陪同严禁进入车间，擅自进入车间者保安和车间工作人员有权利阻止。

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第四十章　门禁出入管理制度

一、目的

为了树立良好的企业形象， 维护公司财物和员工的人身财产安全， 促进公司事业发展， 结合公司实际情况，特制定门禁管理制度。

二、适用范围

适用于所有进出本公司人员(单位、个人)。

三、职责

保安人员及公司其他人员自觉遵守本制度。

四.管理内容

1.凡出入大门公司人员，进出者必须持有门禁感应卡，按规定刷卡记录后方可出入，不刷卡者一律不得进出， 保安人员有权制止， 新入职人员须经门卫电话确认， 登记并检查有效证件后方可出入。

2.外来人员因公需进入公司，应先登记，门卫询问事由，必要时应查验证件，电话通知接洽部门， 经接洽部门或相关人员同意后， 值班保安给来访者填写《来访人员登记表》、签发《来访条》、保安给来访者指出接洽部门位置和车辆停放位置。如接洽部门或相关人员不在或有其他原因不愿接见的，保安应委婉拒绝，请其外出

3.公司员工严禁爬越围墙进出，多次发生将予以通报。 进出生产中门参观者一律携带访客证。

4.被公司除名及离职人员，保安应凭行政管理中心集团办核准后的《离职人员出门条》给予放行， 并严格检查其行李物品， 严禁携带任何具有本公司标志的公司物品出公司，离职人员不得再次回公司。

5.公司各种物资均需凭出门条放行，成品销售、次品、生产劳动工具、加工零件、样板、模具或生产物料废品凭二级单位负责人签发的出门条； 办公、生活用具凭行政管理中心集团办开具出门条； 物资供应公司采购的物品需退换货时， 凭物资供应负责人签发的出门条放行。保卫人员对出门条分类夹放，禁止丢失和损坏出门条。

6.公司订购的货物，应先在保安室登记，由保安通知收货部门或人员接洽。

7.提交的小件物品、信函、文件等应由保安代收发， 保安应及时准备做好收、发工作， 并例行登记。

8.对人员、车辆所携带物件有疑问时，应及时询问相关人员加以确认。

9.来访者办事完毕， 需持访客证返还给保安并签字，经保安审核后离开公司，如有特殊情况未签字者，保安应打电话询问接洽部门情况是否属实后可放行。

11.下列外来人员严禁进入公司大门：

①携带易燃易爆及危险品的人员。 ②不明身份、衣冠不整的人员。 ③推销产品及收购废品的人员。 ④非洽谈公务人员，或是洽谈公务但拒绝登记检查者。 ⑤来访人员报不清受访部门及受访人者。 ⑥来访人员不能出示有效证件者

12.有下列行为之一的公司员工严禁离开公司：

①员工出公司，携带公司物品，出门条上无部门经理签核者。 ②员工携带物品有放行条，但物条不符者。 (五)公司办公区门禁管理

1.外来人员应持有保安发放的来访条进入登记允许接待的集团办，严禁随意在其他办公室游走，否则一律予以驱逐。

2.接待来访人员时，各部门接待人员应加强保密意识，如客人翻阅办公桌的资料时应予以制止。

3.公司员工进入公司生产大门、车[illegible]上班[illegible]不带工作牌者,保安可阻止其入内,直至[illegible]应记[illegible]交行政管理中心集团办处理。行政管理中心办将该位员工的违规事实书面告知所在部门， 由所在部门根据事实在员工绩效考核中予以扣分处理。

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343-Access devices control procedure.jpg

## Physical Security - 问题 # 106


362-Visitor vehicle parking area.jpg

## Physical Security - 问题 # 109


371-Physical barriers.jpg

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### Physical Security - 问题 # 110


375-Facility gate.jpg

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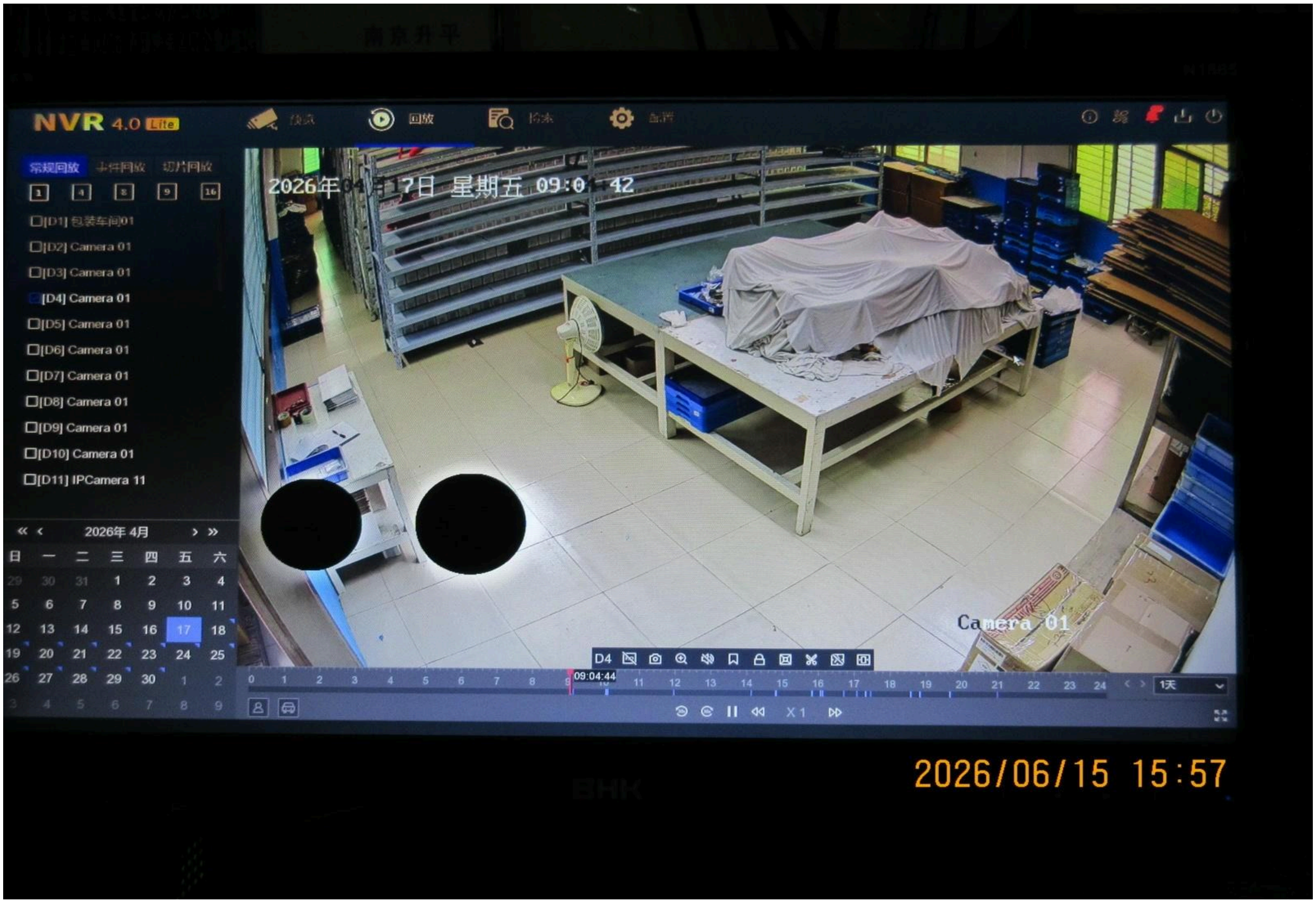
### Physical Security - 问题 # 120




411-CCTV.jpg

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### Physical Security - 问题 # 127


435-Visitor badge.jpg

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**Misc - 问题 # 147**


501-The front of the facility including factory name signage.jpg

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### Misc - 问题 # 148


503-Security guard station.jpg

### Misc - 问题 # 149


505-Facility building.jpg

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**Misc - 问题 # 150**


507-Shipping and receiving area.jpg

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**Misc - 问题 # 151**


509-Perimeter fence.jpg

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## Misc - 问题 # 152


511-Packing area.jpg

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### Misc - 问题 # 153


513-Vehicle parking area.jpg