



LOCATION CORPORATE AUDIT REPORT

Report# CA-2019-12-0340-CAPA2-V3

Updated on Jan 6, 2020

Wenzhou Kaisi Outdoor Products Co.,Ltd

This Report Applies Solely for SCAN - Supplier Compliance Audit Network

Completed on Dec 17, 2019

LOCATION INFORMATION

Wenzhou Kaisi Outdoor Products Co.,Ltd

NO.8 Xin Ya Road, Sanxi Industrial P
Ouhai District
Wenzhou, Zhejiang, China
325016
86-18665953926

Point of Contact Name: Ms. HUANG Xiaoqun

Point of Contact Email: sale@cnhammock.com; sales3@cnhammock.com; 51068858@qq.com

Target Month: 12/29/19

Contact Name	Phone	Email
		51068858@qq.com

Location: Wenzhou Kaisi Outdoor Products Co.,Ltd

Primary Location: Yes

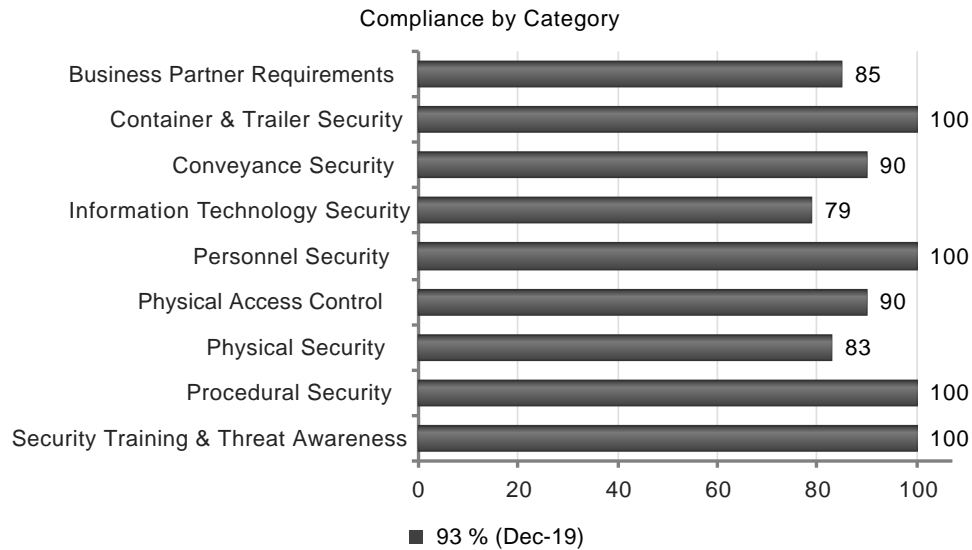
Critical Location: No

Assigned Auditor: UL

Schedule Date: 12/10/2019

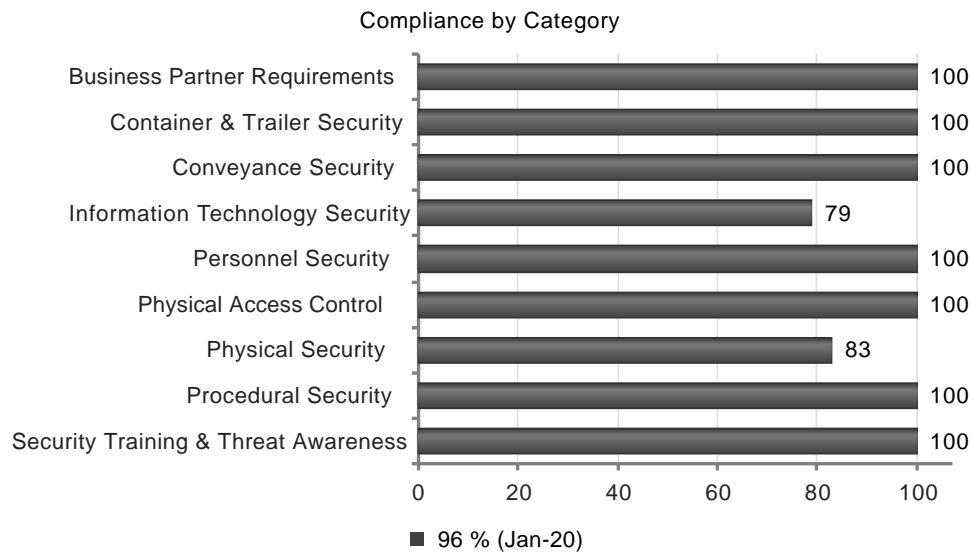
SCAN - SCAN Security Audit
Audit completed on December 17, 2019

93 % Compliance Score



Post CAPA scoring – CAPA completed on January 03, 2020

96 % Compliance Score



BUSINESS PROFILE INFORMATION

Profile Question	Response
Year Established	2016
Does the facility participate in any government, local customs, or World Customs Organization (WCO) accredited facility security program?	No
Do you hold a Certification?	No
Has the facility been reviewed or audited by this program?	No
Primary Industry of Operations	Textile/Apparel/Clothing
Product Type / Commodity	Outdoor pet and travel accessories
Grounds Size (Square Meters)	600
Number of Buildings	1
Facility Size (Square Meters)	2400
Number of access points? (i.e. gates, exterior doors)	3
Hours of Operation	08:00-11:30, 13:00-17:30
Number of Employees	21 - 50
Number of Contract Employees	0
Number of Security Guards	4
Number of Migrant Workers	0
Annual Revenue	50 - 100 Million

AUDIT RESPONSES

Overall Compliance Score: 96 %

Audit Sent: 1/3/2020

Due Date: 12/31/2019

Business Partner Requirements

100%

Question

1. Does the facility utilize any contract services, such as security, transportation or manufacturing labor?

Actual

- ☒ Yes
☐ No

Additional Comments: No comments were provided

2. **Must** Does the facility have written, verifiable processes and procedures used in the selection of business partners including: material suppliers, manufacturers, and logistics service providers?

Actual

- ☒ Yes
☐ No

Additional Comments: No comments were provided

3. **Must** Does the facility incorporate and require minimum supply chain security requirement language in contracts with a business partners?

Actual

- ☒ Yes
☐ No

Additional Comments: No comments were provided

4. **Must** Are contracted business partners required to conduct and provide an annual security risk assessment of their operation? These business partners include any contract services, such as security, transportation provider, freight consolidation or manufacturing labor.

Actual

- ☐ No
☒ Yes - annually
☐ Yes - minimally every 2 years
☐ One time

Additional Comments: No comments were provided

5. **Should** Are contracted logistics service providers given an outline of minimum security

standards in their local language?

CAPA Sent: 12/31/2019

Due Date: 2/16/2020

CAPA: Pls. select "No" if no evidence available.

Actual

- ☒ Yes
☐ No
☐ NA



[efa11ca0085b13893f30b21267ecdc3.jpg](#)

Additional Comments: 工厂的货运合同已经告知基本反恐要求, 在补充协议中告知意外情况告知方式及途径

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: This is a best practice. No further action is required however providing a copy of the minimum security requirements to each driver and service provider in the local language is a best practice and shows a higher commitment to security. Please confirm your understanding by adding "Acknowledged" in your additional comments section and submit with any other corrective actions as applicable.

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: 已确认

Actual

- ☐ Yes
☒ No
☐ NA

Additional Comments: Minimum security standards were not provided to contracted logistics service providers.

Container & Trailer Security

100%

Question

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

Actual

- ☒ Yes

- ☐ No
☐ NA



[Seal type.jpg](#)

Additional Comments: No comments were provided

-
7. **Must** Does the facility have written and verifiable procedures to ensure that security seals are controlled and are properly applied to a container or trailer by a designated facility representative?

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: No comments were provided

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

Actual

- ☒ Yes
☐ No
☐ NA



[Seal storage area.jpg](#)

Additional Comments: No comments were provided

-
9. **Must** Does the facility have a designated employee with responsibility to maintain, distribute, and handle security seals?

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: No comments were provided

-
10. **Must** Is the security seal number recorded on the bill of lading document and a copy of the bill of lading retained by the facility?

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: No comments were provided

-
11. **Must** Does the facility have written and verifiable security procedures in place to report any unscheduled stops, compromised shipments, or any unattended shipments. These procedures should be provided to their contracted logistics provider and driver? Select all that apply.

Actual

- ☐ Nothing in place
- ☒ Reporting requirement
- ☒ Procedure is written
- ☒ Container/trailer cannot be left unattended
- ☐ NA

Additional Comments: *No comments were provided*

12. **Must** Does the facility have a written and verifiable procedure in place indicating how to recognize a suspected or compromised security seal, container or trailer structure tampering, including how to report the issue to the freight forwarder and appropriate local law enforcement?

Actual

- ☒ Yes
- ☐ No
- ☐ NA

Additional Comments: *No comments were provided*

13. **Must** Is a written and verifiable procedure in place to require that security or shipping personnel verify the security seal number against the bill of lading when the container or trailer departs the facility?

Actual

- ☒ Yes
- ☐ No
- ☐ NA

Additional Comments: *No comments were provided*

14. **Should** Does the facility have a written procedure in place to take photographs of a loaded container or trailer with the security seal affixed, and is photo-taking part of the written process? Select all that apply.

Actual

- ☐ No
- ☒ Photos taken
- ☒ Seal number in photos
- ☒ Trailer/container number in photos
- ☐ NA

Additional Comments: *No comments were provided*

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15. **Must** Is a loaded and stored container or trailer closed and secured with a security seal?

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: *No comments were provided*

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

Actual

- ☒ Yes
☐ No

Additional Comments: *No comments were provided*

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

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: *No comments were provided*

18. **Critical** Prior to loading a trailer or container does the facility conduct a 7-point inspection using a documented checklist?

Actual

- ☒ Yes
☐ No
☐ NA

[7-point inspection checklist.pdf](#)

Additional Comments: *No comments were provided*

19. **Must** Does the shipping area use equipment to conduct a 7-point container inspection? Select all that apply.

Actual

- ☒ Mirrors for undercarriage
☐ No tools available
☒ Laser distance measurer or Pre-measured string
☒ Tap test tool (such as a hammer)
☐ NA

Additional Comments: No comments were provided

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

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: No comments were provided

Conveyance Security

100%

Question

21. **Critical** Is driver information recorded and retained for all departing shipments?

Actual

- ☒ Yes
☐ No



[Recorded driver information.jpg](#)

Additional Comments: No comments were provided

22. **Must** Is a written procedure in place instructing drivers to take designated routes between the origin and the port?

Actual

- ☒ Yes
☐ No

Additional Comments: No comments were provided

23. **Must** Where possible, are transit routes from the facility to the port or next destination location randomly changed to minimize predictability.

CAPA Sent: 12/31/2019

Due Date: 2/16/2020

CAPA: Pls. select "No" if no evidence available and provide a date of completion in the comment area.

Actual

- ☒ Yes
☐ No
☐ NA



[efa11ca0085b13893f30b21267ecdc3.jpg](#)

Additional Comments: 工厂已经重新签订补充合约, 可以随机更改路线。

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: Provide a timeline to create and implement a procedure to periodically and randomly designate an alternative transit route between the factory and the port or container staging area at the port. This requirement will be reviewed at the next SCAN audit to confirm compliance.

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: 工厂将重新签订物流备用路线合同

Actual

- ☐ Yes
☒ No
☐ NA

Additional Comments: No procedure was in place to ensure the transit routes from the facility to the port or next destination location randomly changed to minimize predictability.

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

Actual

- ☒ Procedure is written
☐ No requirements
☒ GPS or other (please explain)

Additional Comments: GPS is used by the contracted transportation company.

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

Actual

- ☐ Yes
☐ No
☒ NA

Additional Comments: No LCL shipment is conducted.

26. **Must** Is there a procedure in place that requires an LCL container or trailer to be sealed after each stop with either a tamper evident seal or a padlock? Select all that apply.

Actual

- ☐ Procedure is written
- ☐ No requirements
- ☐ Padlock with key controlled by either factory and/or driver
- ☐ Tamper evident seal
- ☒ NA

Additional Comments: No LCL shipment is conducted.

27. **Must** If the facility makes LCL shipments, does the facility have a procedure to validate tamper evident seals prior to removal at each stop, and do all seals accompany the load to the final destination?

Actual

- ☐ Yes
- ☐ No requirements
- ☒ NA

Additional Comments: No LCL shipment is conducted.

28. **Must** If the facility makes air shipments, is there a written and verifiable procedure in place outlining steps required to document shipment movement from the facility all the way to delivery to the freight forwarder or airline?

Actual

- ☐ Yes
- ☐ No
- ☒ NA

Additional Comments: No air shipment is conducted.

Physical Access Control

100%

Question

29. **Critical** Is a written procedure in place that outlines access control to the facility, property and buildings? Procedure should include details covering issue, removal, and changing of access control devices and ID cards?

Actual

- ☒ Yes
- ☐ No

[Access control procedure.pdf](#)

Additional Comments: No comments were provided

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

Actual

- ☒ Yes
☐ No

Additional Comments: *No comments were provided*

31. **Critical** Is a written and verifiable procedure in place to monitor and limit access to critical operational areas of the facility, such as warehouse picking, final packing or packaging, shipping and receiving? Access should be limited to only authorized employees.

Actual

- ☒ Yes
☐ No
☐ NA

[Restriction area procedure.pdf](#)

Additional Comments: *No comments were provided*

32. **Critical** Is a written and verifiable procedure in place to require a visitor to present photo identification upon arrival and their information is recorded into a visitor log? Select all that apply.

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: This requirement has multiple response options. Not addressing all the areas requested will result in a partial score. This is a critical requirement. You must implement and provide evidence that a procedure is in place to require positive identification of all visitors to the facility including a visitor sign in log. Please provide a photo copy of one page of the procedure and the visitor sign in log to meet this requirement.

Actual

- ☐ Nothing in place
☒ Procedure is written
☒ Visitor sign-in log in use
☒ Photo ID checked



[访客登记.jpg](#)

Additional Comments: 已经实施

Actual

- ☐ Nothing in place
☒ Procedure is written
☒ Visitor sign-in log in use
☐ Photo ID checked



[Visitor log.jpg](#)

Additional Comments: The established procedure is not implemented well. During the entry to the facility on the audit date, the auditor is not required to provide photo identification to verify the visit purpose.

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

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: This is a best practice. No further action is required at this time. However having process to inspect packages and personal items demonstrated a high level of security commitment. Incorporating such a policy will raise your compliance score. Please confirm your understanding by adding "Acknowledged" in your additional comments section and submit with any other corrective actions as applicable.

Actual

- ☒ Yes
☐ No



[检查行李.jpg](#)

Additional Comments: 已确认

Actual

- ☐ Yes
☒ No

Additional Comments: No written and verifiable procedure is in place to inspect a visitor's bag or package before entering and leaving the manufacturing, production or shipping area of the facility.

-
34. **Must** Is a visitor issued a numbered visitor badge which is displayed while at the facility?

Actual

- ☒ Yes
☐ No
☐ Badges issued, but not numbered
☐ NA

Additional Comments: No comments were provided

-
35. **Must** Is a visitor escorted at all times while at the facility?

Actual

- ☒ Yes
☐ No

Additional Comments: No comments were provided

-
36. **Must** Is a written and verifiable procedure in place to inspect a suspicious package and mail for dangerous materials prior to distribution?

Actual

- ☒ Yes

- ☐ No
☐ NA

Additional Comments: *No comments were provided*

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

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: *No comments were provided*

38. **Must** Is a written and verifiable procedure in place to identify, challenge, and remove an unauthorized person at the facility?

Actual

- ☒ Yes
☐ No

Additional Comments: *No comments were provided*

Personnel Security

100%

Question

39. **Must** Is an employee hiring procedure documented and implemented? Select all that apply.

Actual

- ☐ Nothing in place
☒ Policy is written
☒ Procedures for hiring
☒ Procedures for applications
☒ Employee documentation
☒ New employee screening

Additional Comments: *No comments were provided*

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

Actual

- ☐ No requirement
☒ Written application required
☒ Government issued ID required

Additional Comments: *No comments were provided*

41. **Must** Is a written and verifiable procedure in place to validate information provided on an employment application, such as an address, previous employment history, education, personal or professional references, and a certification? Select all that apply.

Actual

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

Additional Comments: *No comments were provided*

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

Actual

- ☐ No
- ☒ Policy is written
- ☒ Criminal background checks
- ☐ NA

Additional Comments: *No comments were provided*

43. **Must** Is a written and verifiable procedure in place to remove facility access, such as a facility issued ID badge or card and a computer access code from any employee who has resigned, was terminated, or takes an extended leave of absence?

Actual

- ☒ Yes
- ☐ No

Additional Comments: *No comments were provided*

Procedural Security

100%

Question

44. **Must** Is a written and verifiable procedure in place that requires all information used in the shipping documents for merchandise/cargo to be legible, complete, and accurate?

Actual

- ☒ Yes
- ☐ No

Additional Comments: *No comments were provided*

45. **Must** Is a written and verifiable procedure in place that restricts access to shipping and receiving documentation? Access should be limited to only personnel required to complete

and review the documents.

Actual

- ☒ Yes
☐ No

Additional Comments: *No comments were provided*

46. **Should** Is a written and verifiable procedure in place to communicate business information necessary for customs clearance within 24 hours of shipment departure from the facility?

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: *No comments were provided*

47. **Must** Is an international shipment marked, counted, weighed, and properly reported on the commercial invoice and bill of lading? Note due to Safety of Life at Sea (SOLAS) accurate container weights are now required for all ocean going shipments FCL and LCL.

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: *No comments were provided*

48. **Critical** Is a written and verifiable procedure in place to protect against the introduction of unauthorized and un-manifested materials during the container and trailer loading and shipping processes?

Actual

- ☒ Yes
☐ No
☐ NA

[Shipping process
procedure.pdf](#)

Additional Comments: *No comments were provided*

49. **Must** Is a written and verifiable procedure in place to resolve a carton count shortage, overage, or any documentation issue found during container or trailer loading; or after the shipment has departed the facility?

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: *No comments were provided*

50. **Critical** Is a written and verifiable procedure in place to notify local law enforcement and the customer when illegal shipping activity or any abnormality is suspected or detected? Select all that apply.

Actual

- ☐ Nothing in place
- ☒ Procedure is written
- ☒ Local law enforcement notified
- ☒ Customer notified

[Incident reporting procedure.pdf](#)

Additional Comments: No comments were provided

Physical Security

83%

Question

51. **Must** Is there a designated employee and visitor vehicle parking area separated from the shipping and receiving area? Select all that apply.

CAPA Sent: 12/31/2019

Due Date: 2/16/2020

CAPA: Pls. do not select the option "No personally owned vehicles are permitted in Shipping & Receiving area" if the evidence is not available for review, and you need to provide a date completion in the comment area.

Actual

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



[43S\CV%\JWKQK\\$H\WL%Q\GIK.png](#)

Additional Comments: 装货区有警戒带禁止非授权人员与车辆进入

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: This requirement has multiple response options. Not addressing all the areas requested will result in a partial score. Please provide a timeline to insure that the shipping and receiving area is either fenced or otherwise monitored with security personnel or CCTV recordings. Prohibiting personal vehicles (vehicles of any type other than those required for pulling trailers or containers or those required to perform maintenance or repairs of facility or equipment should be parked in a different location away from the shipping and receiving area) from access to trailer and container storage area and that access to this area is restricted to only those who are required to load, ship control or monitor the area. This requirement will be reviewed at the next SCAN audit to confirm compliance.

Actual

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

Additional Comments: 工厂尽量要求私人车辆远离装货区

Actual

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

Additional Comments: The parking area of personal vehicle of other tenants in the facility compound is just close to the designated shipping and receiving area.

-
52. **Must** Is the area adjacent to the shipping and receiving areas enclosed or otherwise monitored?

Actual

- ☒ Yes
- ☐ No

Additional Comments: No comments were provided

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

Actual

- ☒ Yes
- ☐ No

Additional Comments: No comments were provided

-
54. **Must** Is a preventative maintenance procedure in place that requires a regular inspection of perimeter fencing or other barriers, buildings, and structures? Select all that apply.

Actual

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

Additional Comments: No comments were provided

55. **Must** Are facility gates through which vehicles and/or employees enter and exit guarded or monitored and secured when not in use?

Actual

- ☒ Yes
☐ No
☐ NA



[Guarded and monitored exit.jpg](#)

Additional Comments: No comments were provided

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

CAPA Sent: 12/31/2019

Due Date: 2/16/2020

CAPA: Pls. select "No" if no evidence available.

Actual

- ☐ Yes
☒ No
☐ NA

Additional Comments: No comments were provided

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: Please provide a timeline to incorporate a back up power system for the critical plant security and other systems. This back up is essential to increasing security. This requirement will be reviewed at the next SCAN audit to confirm compliance.

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: 工厂计划在2020年3月购置发电机

Actual

- ☐ Yes
☒ No
☐ NA

Additional Comments: The facility has no alternate electrical power system to ensure uninterrupted operation of electronic security systems.

-
57. **Should** Are facility buildings constructed of materials that will resist easy illegal entry?

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: *No comments were provided*

-
58. **Must** Are facility windows, gates, fences, and doors secured with locking devices to deter unauthorized access? (Note: a designated fire exit must never be locked from the inside that prevents employees from evacuating the building in an emergency situation.)

Actual

- ☒ Yes
☐ No

Additional Comments: *No comments were provided*

-
59. **Must** Is a written and verifiable procedure in place to control the issue, removal, and changing of access devices such as an ID badge, door and lock keys, access cards, and security alarm codes? Select all that apply.

Actual

- ☐ Nothing in place
☒ Procedure is written
☒ Checklist is included in Termination document,

Additional Comments: *No comments were provided*

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

Actual

- ☒ Yes
☐ Nothing in place
☐ Interior lighting only
☐ Exterior lighting only

Additional Comments: *No comments were provided*

-
61. **Should** Does the facility have an anti-intrusion alarm system?

CAPA Sent: 12/31/2019

Due Date: 2/16/2020

CAPA: Pls. select "No" if no evidence available.

Actual

- ☐ Yes
☒ No

Additional Comments: No comments were provided

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: Please note this is a "best practice" no further action is required. Implementing this requirement shows continuous improvement and will raise your score. Please confirm your understanding by adding "Acknowledged" in your additional comments section and submit with any other corrective actions as applicable.

Actual

- ☒ Yes
☐ No

Additional Comments: 工厂计划在2020年安装红外报警系统。

Actual

- ☐ Yes
☒ No

Additional Comments: The facility has no such anti-intrusion alarm system.

62. **Should** Is a procedure in place to test and inspect the anti-intrusion security alarm system? Select all that apply.

Actual

- ☐ Nothing in place
☒ Procedure is written
☒ Regular testing
☒ Regular inspections
☒ Preventative maintenance
☒ Maintenance logs kept

Additional Comments: No comments were provided

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

Actual

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



[CCTV monitoring system.jpg](#)

Additional Comments: No comments were provided

64. **Should** Is a procedure in place to test and inspect the CCTV system? Select all that apply.

Actual

- ☐ Nothing in place
- ☒ Procedure is written
- ☒ Regular testing
- ☒ Regular inspections
- ☒ Preventative maintenance
- ☒ Maintenance logs kept
- ☐ NA

Additional Comments: *No comments were provided*

65. **Should** If used, how many days are CCTV recordings kept?

CAPA Sent: 12/31/2019

Due Date: 2/16/2020

CAPA: Pls. select "Recordings not retained" if no evidence available.

Actual

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

Additional Comments: *No comments were provided*

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: Please note this is a "best practice" no further action is required. Implementing this requirement shows continuous improvement and will raise your score. Please confirm your understanding by adding "Acknowledged" in your additional comments section and submit with any other corrective actions as applicable.

Actual

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

Additional Comments: 已确认

Actual

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

Additional Comments: The CCTV monitoring system can only show real-time image but no video recordings are retained.

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

Comments: The assessed facility only rents the 1st, 3rd, 4th and 5th floor of one 5-storey building (Building No.1) in the facility compound from the landlord named Wenzhou Xingchen Shoe Material Co., Ltd. The facility name is marked outside the shipping exit door.



[Facility name.jpg](#)

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

Comments: Only one entrance is in place for the access to entire facility compound and there are three exits of the building used by the assessed facility, which are all monitored by CCTV cameras.



[Security house.jpg](#)

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

Comments: The assessed facility only rents the 1st, 3rd, 4th and 5th floor of one 5-storey building (Building No.1) in the facility compound from the landlord named Wenzhou Xingchen Shoe Material Co., Ltd. The 2nd floor of the building is used by landlord. The using area of the assessed facility includes inspection and packing section with semi-finished goods transit area on the 1st floor, material and finished goods warehouse on the 3rd floor and cutting and sewing sections on the 4th and 5th floors.



[Facility buildings.jpg](#)

-
69. Describe the shipping and receiving areas. Please attach a picture.

Comments: The shipping and receiving area is located outside the shipping exit of the building on the 1st floor, which is located in the open area with simple emergency line surrounded and one CCTV camera monitored. However, it is near the parking area of vehicle of other tenants in the facility compound.



[Loading area.jpg](#)

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

Comments: The packing area is located on the 1st floor with physical barrier and CCTV camera monitored.



[Packing area.jpg](#)

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

Comments: No container storage area is applicable since the containers are not stored in the facility. The private vehicle parking area for assessed facility is designated between the security house and the building used by assessed facility with security guard monitored.



[Parking area.jpg](#)

Security Training & Threat Awareness

100%

Question

72. **Should** Is a security Threat Awareness training program established and maintained? Is training provided to all new employees and current employees as an annual refresher? Select all that apply.

Actual

- ☐ Nothing in place
- ☒ Procedure is written
- ☒ Yes - to all employees, on hire
- ☒ Yes - to all employees, annually

Additional Comments: *No comments were provided*

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

Actual

- ☒ Yes
☐ No

Additional Comments: *No comments were provided*

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

Actual

- ☒ Yes
☐ No

Additional Comments: *No comments were provided*

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

Actual

- ☐ Nothing in place
☒ Shipping & Receiving controls
☒ Seal controls
☒ Container/trailer inspections
☒ Container/trailer sealing

Additional Comments: *No comments were provided*

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

Actual

- ☐ Nothing in place
☒ Threat awareness
☒ Contraband
☒ Human smuggling
☒ Terrorism

Additional Comments: *No comments were provided*

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

Actual

- ☐ Nothing in place
- ☒ Incentive/recognition program

Additional Comments: *No comments were provided*

Information Technology Security**79%****Question**

78. **Must** Is a written information technology system security policy in place? Select all that apply.

Actual

- ☐ Nothing in place
- ☒ Policy is written
- ☒ Assignment and removal of access controls
- ☐ NA

Additional Comments: *No comments were provided*

79. **Must** Do automated systems at the facility have individually assigned user accounts that require a periodic change of password? Select all that apply.

Actual

- ☐ Nothing in place
- ☒ Individually assigned accounts
- ☒ Periodic password changes
- ☐ NA

Additional Comments: *No comments were provided*

80. **Should** Are written procedures and automated back-up capabilities in place to protect against the loss of data?

CAPA Sent: 12/31/2019

Due Date: 2/16/2020

CAPA: Pls. select "Manual back-up" if no evidence available.

Actual

- ☐ Nothing in place
- ☐ Procedure is written - Automated back-up
- ☒ Procedure is Written -Manual back-up
- ☐ Procedure is written - No back-ups
- ☐ NA

Additional Comments: *No comments were provided*

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: This is a "best practice" no further action is required at this time. Implementation of a Critical information backup system shows a high commitment to supply chain security. Putting a system into practice will improve your compliance score well showing a commitment to continuous improvement. Please confirm your understanding by adding "Acknowledged" in your additional comments section and submit with any other corrective actions as applicable.

Actual

- ☐ Nothing in place
- ☒ Procedure is written - Automated back-up
- ☐ Procedure is Written -Manual back-up
- ☐ Procedure is written - No back-ups
- ☐ NA

Additional Comments: 已确认

Actual

- ☐ Nothing in place
- ☐ Procedure is written - Automated back-up
- ☒ Procedure is Written -Manual back-up
- ☐ Procedure is written - No back-ups
- ☐ NA

Additional Comments: Only manual back-up of data is conducted periodically.

-
81. **Should** Are automated systems in place to monitor for and prevent attempts of unauthorized access and tampering with systems and/or electronic data?

CAPA Sent: 12/31/2019

Due Date: 2/16/2020

CAPA: Pls. select "No" if no evidence available.

Actual

- ☐ Yes
- ☒ No
- ☐ NA

Additional Comments: No comments were provided

CAPA Sent: 12/19/2019

Due Date: 2/17/2020

CAPA: This is a "best practice" no further action is required at this time. Implementation of a means to monitor for hacking or illegal access shows a high commitment to supply chain security. Establishing such a program will raise the compliance score and demonstrate a commitment to continuous improvement. Please confirm your understanding by adding "Acknowledged" in your additional comments section and submit with any other corrective actions as applicable.

Actual

- ☒ Yes

- ☐ No
☐ NA

Additional Comments: 已确认

Actual

- ☐ Yes
☒ No
☐ NA

Additional Comments: No automated systems are in place to monitor for and prevent attempts of unauthorized access and tampering with systems and/or electronic data.

-
82. **Should** Are employees with computer systems access aware of and receive training about information technology system policies, procedures, and security standards; and is employee training documented and retained? Select all that apply.

Actual

- ☐ Nothing in place
☒ Employees trained
☒ Training documented and retained
☒ Training material available
☐ NA

Additional Comments: No comments were provided

-
83. **Should** Is an employee who violates or abuses the information technology policies and procedures subject to disciplinary action?

Actual

- ☒ Yes
☐ No
☐ NA

Additional Comments: No comments were provided

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

Actual

- ☒ Yes
☐ No



[Opening meeting letter\(signed copy\).jpg](#)

Additional Comments: No comments were provided

ATTACHED DOCUMENTATION - PHOTOS

Business Partner Requirements - Question # 5

货物运输合同书补充协议

委托方：温州凯思户外用品有限公司（以下简称甲方）
法定地址：温州市瓯海区三溪工业区新雅路8号第1幢第5层
负责人：罗娅
承运方：温州路通物流公司（以下简称乙方）
承运人：唐建芳
电话：18969728783

甲乙双方本着平等互利的原则，经协商，就乙方向甲方提供货物综合运输的有偿服务事宜，达成如下补充协议：

1、在合同规定的期限内，按规定的路线，（货柜送 宁波梅山港口，从交货点 浙江省温州市瓯海区三溪工业区新雅路8号 从走温州瓯海大道-娄桥高速上高速-沈海高速-甬台温（北仑支线）-穿山疏港高速，霞浦高速楼路口下高速-北仑霞浦各大港口外贸仓库，预计到达时间为5-6小时，中间不休息，如遇道路阻塞误时，请打18969728783，向我公司唐建芳通报情况；如发生突发情况时，请报警打“110”求助，同时速向我公司唐建芳报告）将货物运到指定的地点，按时向收货人发出货物到达的通知。对托运的货物的安全负责，保证货物无短缺、无损坏、无人为的变质，如有上述问题，应承担相应之赔偿义务。在货物到达以后，按规定的期限负责保管。

2、在合同规定的期限内，为了预防突发事件，确定以下备用路线，（货柜送 宁波梅山港口，从交货点 浙江省温州市瓯海区三溪工业区新雅路8号 从走潘桥上高速-诸永高速-台金高速-沈海高速-北仑霞浦各大港口外贸仓库，预计到达时间为5-6小时，中间不休息，如遇道路阻塞误时，请打18969728783，向我公司唐建芳通报情况；如发生突发情况时，请报警打“110”求助，同时速向我公司唐建芳报告）。

3、乙方有义务要求货运司机按照以上主要路线及备用路线随机改变行驶，对随机路线进行保密防止非法分子探知。甲方有权随时要乙方调取货运车GPS路线图，以确保按照要求路线行驶。

4、乙方在给甲方运输过程中如必需要更换路线，需及时向甲方邮件告知，以便甲方掌握运输动态。





Container & Trailer Security - Question # 8



Conveyance Security - Question # 21

温州凯思户外用品有限公司集装箱出货登记表

有来访司机出示带有照片的有效证件，经保安员检查合格后按以下内容逐项登记在此表内

日期 月 日	进入时 间	来访人 姓 名	联系方式	来访单位名 称	车牌号码	身份证/工作证 号 码	货柜号码	铅封号	提货人姓 名/部门	货物发 往目的 地	访客证 编号	访客证是否 有效	离厂 时间	值班员 签 名	
6	5	18:50	李新业	1860667477	凯思户外	浙B6851	34112719770518349	CSLU20572	14184425	赵卓卓	宁海	701	✓	19:50	王林
7	5	10:30	陈勇	1550692098	凯思户外	浙B67937	34112400510800011	CSLU623096	14805830	赵卓卓	宁海	701	✓	14:20	王林
7	20	13:30	陈勇	1550692098	凯思户外	浙B67937	34112400510800011	CSLU623096	14805830	赵卓卓	宁海	701	✓	17:40	王林
8	7	11:20	王震	1896728833	凯思户外	浙B7E958	42128197708045507	CSLU510754	12875892	赵卓卓	宁海	701	✓	15:20	王林
9	8	14:07	陈勇	1586844116	凯思户外	浙B67937	341126199207255516	CSLU342576	12185788	赵卓卓	宁海	701	✓	17:00	王林
11	20	12:57	陈飞	1525875533	凯思户外	浙B2997挂	34110219840407008	07LU571262	0026026	赵卓卓	宁海	701	✓	16:30	王林
												□是□否			
												□是□否			
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												□是□否			

12/10/2019 11:12

12/10/2019 11:12

货物运输合同书补充协议

委托方：温州凯思户外用品有限公司（以下简称甲方）
法定地址：温州市瓯海区三溪工业区新雅路8号第1幢第5层
负责人：罗娅
承运方：温州路通物流公司（以下简称乙方）
承运人：唐建芳
电话：18969728783

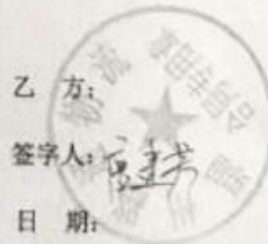
甲乙双方本着平等互利的原则，经协商，就乙方向甲方提供货物综合运输的有偿服务事宜，达成如下补充协议：

1、在合同规定的期限内，按规定的路线，（货柜送 宁波梅山港口，从交货点 浙江省温州市瓯海区三溪工业区新雅路8号 从走温州瓯海大道-娄桥高速上高速-沈海高速-甬台温（北仑支线）-穿山疏港高速，霞浦高速楼路口下高速-北仑霞浦各大港口外贸仓库，预计到达时间为5-6小时，中间不休息，如遇道路阻塞误时，请打18969728783，向我公司唐建芳通报情况；如发生突发情况时，请报警打“110”求助，同时速向我公司唐建芳报告）将货物运到指定的地点，按时向收货人发出货物到达的通知。对托运的货物的安全负责，保证货物无短缺、无损坏、无人为的变质，如有上述问题，应承担相应之赔偿义务。在货物到达以后，按规定的期限负责保管。

2、在合同规定的期限内，为了预防突发事件，确定以下备用路线，（货柜送 宁波梅山港口，从交货点 浙江省温州市瓯海区三溪工业区新雅路8号 从走潘桥上高速-诸永高速-台金高速-沈海高速-北仑霞浦各大港口外贸仓库，预计到达时间为5-6小时，中间不休息，如遇道路阻塞误时，请打18969728783，向我公司唐建芳通报情况；如发生突发情况时，请报警打“110”求助，同时速向我公司唐建芳报告）。

3、乙方有义务要求货运司机按照以上主要路线及备用路线随机改变行驶，对随机路线进行保密防止非法分子探知。甲方有权随时要乙方调取货运车GPS路线图，以确保按照要求路线行驶。

4、乙方在给甲方运输过程中如必需要更换路线，需及时向甲方邮件告知，以便甲方掌握运输动态。



温州凯思户外用品有限公司来访人员/车辆登记表

年 月

来访客人请出示带有照片的有效证件(身份证/工作证/驾驶证)，配合保安人员检查并有保安人员在下表逐项进行登记。

日期 月 日	进入 时间	来访人姓名	来访人单位/公 司名称	车牌号码	身份证/工作证 号 码	被访人姓 名/部门	行李检查	事 由	访客证 编号	离开 时间	访客证 是否回收	值班员签 名
12 21	11:20	刘永平		—	41131119870723588X	121	已查 □否	拜访TH01	TH01	12:00	已查 □否	李永平
12 22	12:15	黄国同	人本纸业	浙C12870	412307198209082116	黄国同	已查 □否	拜访TH01	TH01	11:50	已查 □否	李永平
12 22	18:18	郑有	人本纸业	—	413021198108161425	郑有	已查 □否	拜访TH02	TH02	11:24	已查 □否	李永平
12 23	9:20	李永平	人本纸业	浙C52500	412180197503152892	李永平	已查 □否	拜访TH01	TH01	9:43	已查 □否	李永平
12 23	9:25	阮国玉	人本纸业	—	411262197704188052	阮国玉	已查 □否	拜访TH02	TH02	9:52	已查 □否	李永平
12 24	8:15	吴文国	人本纸业	浙C16608	41532219741102052	吴文国	已查 □否	拜访TH01	TH01	8:40	已查 □否	李永平
12 24	8:50	阮国玉	人本纸业	浙C11853	41212119800823069	阮国玉	已查 □否	拜访TH02	TH02	9:15	已查 □否	李永平
12 24	8:30	阮国玉	—	—	41212719702110323	121	已查 □否	拜访TH03	TH03	9:15	已查 □否	李永平
12 25	8:40	阮国玉	—	—	413127198811231028	121	已查 □否	拜访TH00	TH00	9:15	已查 □否	李永平
12 25	9:40	阮国玉	—	—	36222419810917285	121	已查 □否	拜访TH01	TH01	9:15	已查 □否	李永平
12 25	10:15	阮国玉	人本纸业	浙C17668	3308191802270451	阮国玉	已查 □否	拜访TH01	TH01	10:00	已查 □否	李永平
12 26	9:40	阮国玉	人本纸业	浙C12036	412307197101191670	阮国玉	已查 □否	拜访TH01	TH01	11:18	已查 □否	李永平
12 28	9:20	阮国玉	人本纸业	浙C12112	410209197402286543	阮国玉	已查 □否	拜访TH01	TH01	9:40	已查 □否	李永平
12 28	13:30	阮国玉	—	—	211207197203192022	121	已查 □否					

12/10/2019 12:07







Physical Security - Question # 66



Physical Security - Question # 67



Physical Security - Question # 68



Physical Security - Question # 69



Physical Security - Question # 70



Physical Security - Question # 71



Information Technology Security - Question # 84

SCAN

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

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

The Auditor Will:

- Be on time
- Be professional and courteous
- Maintain acceptable appearance standards
- Be a subject matter expert
- Will not ask for a gift in exchange for a favorable audit
- Will not accept a gift in exchange for a favorable audit
- Will immediately report any attempts at gift giving to SCAN
- Will pay for his or her personal expenses to include a meal at the facility or provided transportation
- Will explain the purpose of the audit and how the audit will be accomplished
- Will have a closing meeting to discuss audit findings — the auditor cannot advise a pass or fail rating

About this Audit

- A Pre-Assessment Checklist was provided when you paid for the audit. By accurately completing the assessment and then making any necessary security improvements will support the overall audit result
- Provide the auditor with access to all areas of the facility that involve areas of the audit
- The auditor will take pictures of some documents or security requirements of the audit. Pictures are included in the audit report only
- The auditor will share audit findings during a closing meeting at the conclusion of the audit

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

SCAN

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

Audit Company Name	UL
Audit Date	December 10, 2019
Auditor Name	Dolphin LU
Auditor Signature	<i>[Signature]</i>
Facility Representative Name	<i>[Signature]</i> 2019.12.10
Facility representative signature	<i>[Signature]</i>

Contact the SCAN Program Administrator with a question or concern about this audit:
Phone: +1.888.640.6776, extension 2
China Phone Line: +86 0755 32900142
Email: scan@scrispshd.com
Websites: www.scanusa.com / www.scanid.com