



如何完成SCAN审核的整改与预防措施（CAPA）

By SCAN Program Management Team

April 2025

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***注意.**

本培训适用于分配 CAPA 的所有SCAN外部审核，包括现场审核、线上远程审核

如何打开SCAN CAPA任务



激活Connect Screen Supplier (CSS) 系统帐户

CAPA ACTION: SCAN has updated the required activities for Test - ABC IN8M47260GTE for the completed SCAN Security Audit (Onsite) assessment [TC6187737]

SCAN <scan@scrksolutions.com>
To [redacted]

Reply Reply All Forward

Tue 11/21/2023



Dear Test - ABC,

Congratulations on successfully completing the SCAN Security Audit recently! Please note **Corrective and Preventative Actions** (CAPAs) have been assigned to you today according to the provided responses in the audit report. **The audit report is now also available for review but to download it you will need to complete all CAPAs first** in the Connect SCREEN System (CSS). Please follow link [Where to Review Audit Report](#) for steps of reviewing your report.

Your Action:

- Please click on the link [Create Account](#) to activate your account in CSS system, the **username** is always your email address. Please use Google Chrome or Microsoft Edge to avoid problems accessing this system. Click following link for instructions on [How to Activate Your Account in CSS](#). If you want to review information in CSS system in local language, please follow this link: [How to Change System Language](#).

Welcome | [redacted]@gmail.com

Passwords must meet the following requirements:

- Password should be minimum 8 characters in length
- Password should contain at least three of the four following criteria
 - At least one upper case letter [A-Z]
 - At least one lower case letter [a-z]
 - At least one numeric [0-9]
 - At least one special character [!@#%&'*~<~>]
- Previous 10 passwords cannot be used

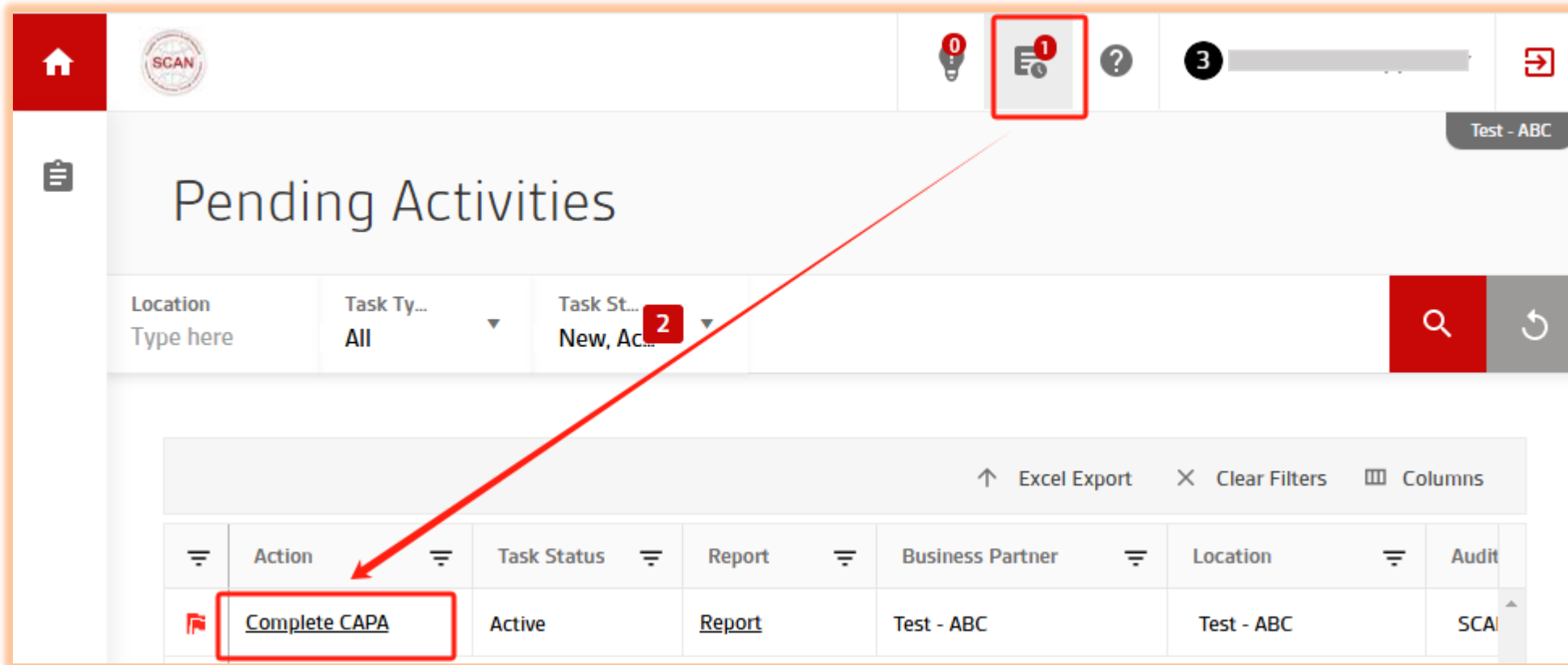
Enter New Password

Confirm New Password

Login

审核公司完成审核后，您将在**17天**内收到 SCAN 发出的 CAPA 通知邮件，届时您可以在系统中在线审阅报告和分配给您的纠正措施（CAPA）。

打开CAPA任务



The screenshot shows the 'Pending Activities' section of the SCAN application. The top navigation bar includes a home icon, the SCAN logo, and several notification icons. One icon, representing a list or tasks, is highlighted with a red box and a red '1'. A red arrow points from this icon to the 'Complete CAPA' button in the table below. The table has columns for Action, Task Status, Report, Business Partner, Location, and Audit. The 'Complete CAPA' button is highlighted with a red box and a red '2'.

Pending Activities

Location Type here Task Ty... All Task St... New, Ac... 2

Excel Export Clear Filters Columns

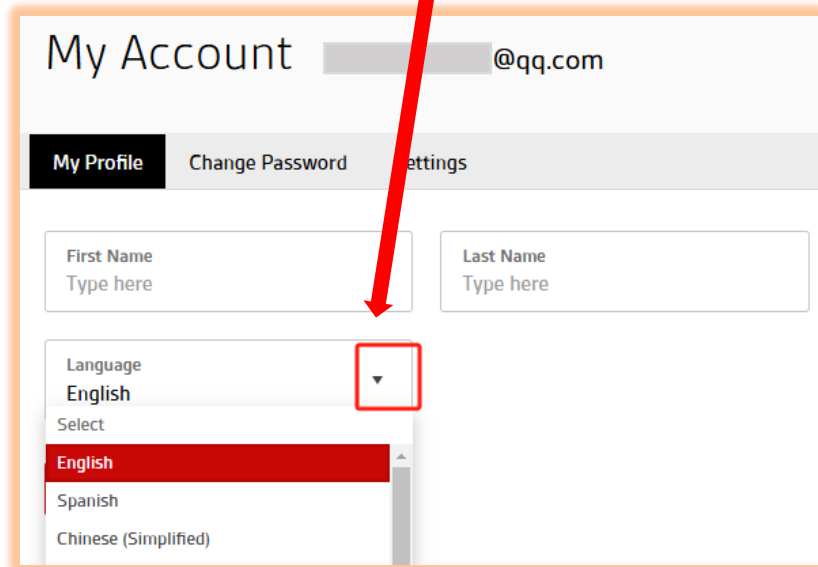
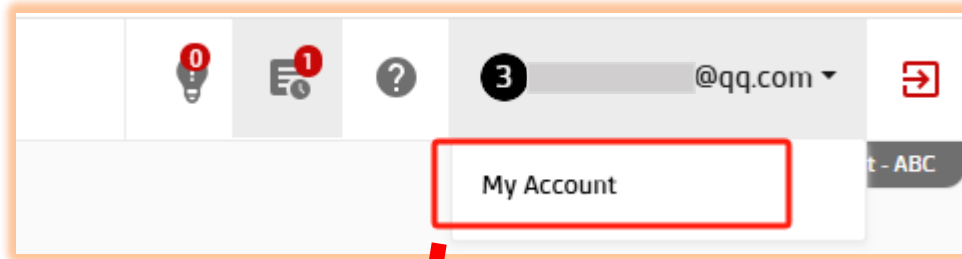
Action	Task Status	Report	Business Partner	Location	Audit
Complete CAPA	Active	Report	Test - ABC	Test - ABC	SCA

回应CAPA前的准备工作



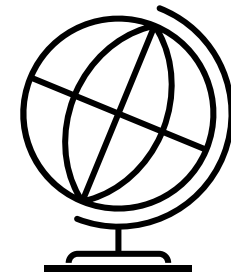
设置系统语言

请按照下面截图中的步骤，根据需要更改系统语言。系统当前支持13种语言的切换。



Available Languages

English (by default)
Spanish
中文 (简体和繁体)
French
German
Japanese
Russian
Italian
Polish
Portuguese
Turkish
Vietnamese



设置系统偏好语言

为什么有必要先更改系统偏好语言呢？

1. 更改后，能够在系统中看到中文（所选语言）的CAPA、相关指引和报告。
2. 可以使用中文（所选语言）回应CAPA，系统会自动将您提交的内容翻译成英文。

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

Unacceptable non-English CAPA comments.

Comments: 更改了我司对于计算机密码维护的要求：每月更改一次；至少10个字符长；大写字母、小写字母、数字和符号的组合；不要使用人员姓名、出生日期、城市名、本公司名称、产品名称等相关字符；和以前的密码大不相同。8月19日我司IT专员已监督公司所有计算机密码进行更改，核实更改后的密码符合规范后登记在册，并会在每月15-20日按照计算机密码更改要求进行维护，安全经理每月会对该项工作进行审查。

***请注意：**SCAN不会接受非英文的CAPA评论。因此，如果您要使用英文以外的语言响应CAPA，例如中文，请您先将您的账户的默认语言设置为中文。

CAPA页面的关键信息和指引

- ✓ **CAPA** – 解释当您已经完成整改，或者当您决定在未来实施整改时，分别需要提供哪些必要的信息
- ✓ **CAPA 指南** – 提供如果您想符合该问题的要求，必须遵守和执行的SCAN 最低标准。

Status 0% Completed (0 of 3)	Questions	Options	Comments (Provide in English)	Attachment	Select
Comments Required; Attachment Required	22 Are test scenarios conducted to identify open ports and IP addresses that create vulnerable access to the internal network? Assigned 2023/02/22 Due 2023/04/23 Status CAPA in Progress ★ CAPA Include in your cybersecurity policy to implement test scenario's to identify cyber security risks. - If you have already implemented, please describe in the comment section when and how you completed the corrective action or implemented the process. Please attach a photo of the process with the title and description of document. - If you will implement, please provide your corrective action plan and the timeline (future date) for completion and implementation of the process in the comment section. ★ CAPA Guidance The policy must include at a minimum: explanation of vulnerability tests; who conducts tests; frequency of tests; steps to resolve any gaps/vulnerabilities identified from testing. Comments section must include actions completed or to be taken. If attaching a document, please explain which page will be the start of your process. CAUTION: Selecting option "Will not implement/ will not comply with corrective action request" is indicating that you acknowledge that your final score for this question will lose points and may be negatively viewed by SCAN Members.	☒ Already implemented ☐ Will implement ☐ Will not implement/ will not comply with corrective action request	Type comments ✓ 评论 – 必须提供	Add Attachment	Select to Submit

✓ **附件** – 是否需要提供附件，取决于问题属性和您的选项

CAPA页面的关键信息和指引

CAPA选项的定义

- 1. Already Implemented - 已经实施。** 当您完成整改措施并提供证据附件时，选择该选项。只有选择此选项并被 SCAN 接受的 CAPA，才能确保您在对应的问题上得分，CAPA 完成后的分数才会提高。
- 2. Will Implement - 将会实施。** 如果计划在将来实施，在评论区提供具体的纠正计划和未来完成日期。
- 3. Acknowledged - Will consider implementation in future - 已知悉 - 将考虑在未来实施。** 该问题是符合供应链合规的最佳实践，您可以选择考虑在未来实施。
- 4. Will not implement/will not comply with corrective action request - 不实施/不遵守纠正措施要求。** 如果您选择此项，说明您拒绝完成纠正措施。不实施纠正措施将对总体审核得分产生负面影响，并缩短与下一次审核的间隔时间。

CAPA页面的关键信息和指引

CAPA问题属性

在SCAN的报告中，对问题进行了3种属性划分。分别是**关键**、**必须**和**最佳实践**。不同问题属性的选项是不同的。

Critical （关键）

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



推荐的选项

已经实施

- ✓ 在评论区描述符合CAPA指南最低要求的整改措施和实施时间。
- ✓ 提供附件证明整改措施已经完成。

Must （必须）

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



推荐的选项

已经实施

- ✓ 在评论区描述符合CAPA指南最低要求的整改措施和实施时间。
- ✓ 提供附件证明整改措施已经完成。

将来实施

- ✓ 在评论区提供整改计划和未来的完成日期。

Material （最佳实践）

- Already implemented
- Acknowledged – will consider implementation in future



推荐的选项

已经实施

- ✓ 在评论区描述符合CAPA指南最低要求的整改措施和实施时间。
- ✓ 提供附件证明整改措施已经完成。

已经知悉

- ✓ 已知悉，考虑在未来实施

CAPA页面的关键信息和指引

Status	Questions
0% Completed (0 of 3)	22 Are test scenarios conducted to identify open ports and IP addresses that create vulnerable access to the internal network? Assigned 2023/02/22 Due 2023/04/23 Status CAPA in Progress ⌚ CAPA: Include in your cybersecurity policy to implement test scenario's to identify cyber security risks. - If you have already implemented, please describe in the comment section when and how you completed the corrective action or implemented the process. Please attach a photo of the process with the title and description of document. - If you will implement, please provide your corrective action plan and the timeline (future date) for completion and implementation of the process in the comment section.

Comments Required;
Attachment Required

Due截止日期，在系统中提交CAPA 的最后期限。

Previous Response 历史回复:
点击小时钟图标，将触发历史回复的弹窗，弹窗包含了审核员针对该问题的评论和选项。并且如果您已经提交过CAPA，这里还可以看到您之前的CAPA评论和选项，以及SCAN针对您的CAPA响应所提供的重开评论。

状态栏，这里会提示在提交CAPA 之前还需要哪些必填信息。所有信息提供后，状态栏的颜色会从黄色转换成绿色。

Previous Response				
Audit/CAPA			Options	Comments
Assigned 2023/02/22	Due 2023/04/08	Submitted 2023/02/22	☐ Vulnerability tests are conducted by IT personnel ☒ No vulnerability tests are conducted	No vulnerability tests are conducted

CAPA页面的关键信息和指引

注意：

- ❑ 选择 “Already implemented已经实施”时，无论问题属性如何，都必须提供附件。
- ❑ 强烈建议您**不要选择 “Will not implement/ will not comply with corrective action request 不会实施 - 不会遵守纠正措施要求”选项**。这表明您拒绝遵守相关要求，并且确认您在这一问题上不得分；这可能会导致SCAN成员也就是您的客户，对报告产生负面评价；更重要的是，这会对您的报告有效期产生负面影响，使您失去审核周期延长至2 年的资格。
- ❑ 如果您提供的附件是书面程序，**请仅上传包含必要流程的页面**。请不要仅仅上传封面，也不要上传整套程序。如果您的书面程序为非英语，也请您在评论区中总结CAPA 指南中最低要求的相关内容。
- ❑ SCAN是一个共享平台，为了确保您客户信息的保密性，不管客户是否是SCAN会员，**请不要在评论区或者附件中，提及任何零售商/进口商名称**。

不可接受SCAN CAPA的常见类型



不可接受SCAN CAPA的常见类型

❌ 选项、评论、附件不一致

在下面的示例中，工厂选择了“Already implemented已经实施”的选项，但只在评论框中提供了纠正措施计划和未来执行日期。由于选项和评论之间不一致，SCAN会将CAPA重开并重新分配给工厂。

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

Assigned	Due	Status
2023/02/22	2023/04/23	CAPA in Progress 

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

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

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

Unacceptable comments:

We will conduct test scenarios to identify open ports and IP addresses that create vulnerable access to the internal network, and it will be implemented from 1/1/2025.

不可接受SCAN CAPA的常见类型

- ❌ 缺少CAPA（纠正和预防措施）的执行日期。
- ❌ 缺少CAP（纠正计划）的未来完成日期。

在下面的示例中，工厂选择了“Already implemented已经实施”选项，但在评论框中没有提供过去的实施日期。SCAN会将CAPA重开并重新分配给工厂，要求他们在评论框中添加具体的过去的实施日期，以确认纠正措施已经完成。

36

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

Assigned	Due	Status
2023/02/22	2023/04/23	CAPA in Progress 

CAPA: Establish a policy to secure and control any containers stored while in the control of the facility.
Please provide summary as evidence of when and how the corrective action was completed/ implemented in the comments section. Please attach a photo of the process with the title and description of document.

☒ Already implemented

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

All containers before loading are stored in a fenced area with CCTV and security staff monitored.

不可接受SCAN CAPA的常见类型

- ❌ 上传的附件为非英文，并且在评论框中没有提供程序或纠正措施的详细描述。
- 例如：工厂添加了一个附件，它是一个书面程序的副本。在评论框中，工厂简单地评论了“已实施，请查看附件”，而附件的程序文件内容是越南文的。
- SCAN会将CAPA重开并重新分配给工厂，要求他们在评论框中总结CAPA指南最低要求的相关流程，和所采取的整改措施的描述来进一步审阅。

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

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

Already implemented. See attached

Assigned	Due	Status
2023/02/22	2023/04/23	CAPA in

CAPA: Establish a written policy to document the trailer/container. Please provide summary of when and how the action was completed/ implemented in the container. Please also upload a copy of a blank checklist and one for review.

CAPA Guidance: The procedure must include at least:
 - checklist can be either paper or electronic
 - size of container

	Mã số: LF-AN-42
	Lần ban hành: 03
	Ngày hiệu lực: 18/11/2024
	Phiên bản: A/2

Khắc phục lỗ hổng là quá trình phát hiện, sửa và vá các lỗ hổng trong hệ thống hoặc mạng.

Đầu tiên, chúng tôi phát hiện các lỗ hổng "ân" bằng nhiều phương pháp khác nhau, sau đó khắc phục chúng, ngăn chặn các mối đe dọa mạng tiềm ẩn khai thác chúng.

Khắc phục lỗ hổng bảo mật bao gồm mọi tài sản kỹ thuật số trong mạng của nhà máy, bao gồm máy chủ, cơ sở dữ liệu, ứng dụng phần mềm và tài khoản người dùng. Bất kỳ thứ gì có thể bị khai thác để truy cập trái phép hoặc gây ra thiệt hại đều được xem xét để khắc phục.

Procedur... pdf

SCAN CAPA重开以及重新分配



SCAN CAPA重开以及重新分配

SCAN将审阅您提交的CAPA，并在**10天内**通知您是否需要采取进一步行动。如果SCAN重开了任何CAPA，您将收到来自SCAN的新的CAPA行动通知。

现提供以下指引，供您参考：

- ✓ 为了高效完成新一轮的CAPA，除了仔细阅读CAPA指南外，请密切关注SCAN在CAPA页面上提供的“重开评论”。这些评论将概述可接受的CAPA所需的具体信息。
- ✓ **不要**提交与前几轮CAPA相同的评论。如果您无法在**三轮内**完成所有分配的CAPA并被SCAN接受，您的最终审核报告可能会受到影响，并且失去把审核周期延长至2年的资格。

Status	Questions	Options	Comments (Provide in English)
100% Completed (1 of 1)	5 Has the audited location recently (within the last 60 days) participated in the free SCAN Factory and Supplier Training provided in advance of this Audit? Assigned 2023/11/28 Due 2023/12/15 Status CAPA in Progress CAPA: The training material had been sent to you, please complete the training and upload certificate for review. ★★★★ Reopen Comments: Your comments were in Chinese, please describe your corrective action in English for review. CAPA Guidance: If the audited location had not participated the training, leadership should follow the link https://scriskolutions.zendesk.com/hc/en-us/articles/4602286708627-SCAN-Factory-and-Supplier-Online-Training to enroll the training and complete it.	☒ Already implemented ☐ Will not implement/ will not comply with corrective action request	We have completed the SCAN Factory and Supplier Training on 2023/11/20.

SCAN审核周期和报告有效期



SCAN审核周期和报告有效期

SCAN报告的有效期默认是一年。当满足以下特定条件时，审核周期可延长至两年。

- 工厂的审核报告原始分数**大于或者等于95%**，完成了所有CAPA并且都被SCAN接受；**或者**
- 工厂的审核报告原始分数**等于或者大于85%并且小于95%**，所处国家的供应链风险评级为**中低风险**，并且完成了所有CAPA，被SCAN所接受；
- 在满足以上任一条件的情况下，自本次审核日期满12个月前后，工厂额外需要完成一次由SCAN发起的在线反恐自我评估。

请注意：完成所有的CAPA的意思是：SCAN接受了工厂提交的CAPA回复，包括工厂的整改计划或者改善证据。请您参考我们在前面提供的CAPA页面关键信息和指引，基于您工厂的实际情况，来对每个CAPA做出恰当的选择和回复。

SCAN审核周期和报告有效期

无论您审核报告的原始分数以及国家的供应链风险评级如何，当工厂没有完成任何一个纠正措施并且被SCAN接受时，您将失去把审核周期延长至2年的资格。

以下情况被视为未完成CAPA，您的审核报告有效期为一年。审核报告将在系统中标记为“**CAPA：无响应关闭**”或“**CAPA：部分完成关闭**”的状态。

CAPA：无响应关闭

- 没有完成以及提交纠正措施到系统中。

CAPA：部分完成关闭

- 在**三(3)轮CAPA**提交后，工厂没有提交恰当和充足的信息，SCAN拒绝了一个或以上的纠正措施。
- 工厂拒绝改善不合规的问题，对一个或以上的纠正措施选择“Will not implement – will not comply with corrective action request不执行-不遵守纠正措施要求”的选项。

SCAN CAPA时间表和通知



SCAN CAPA时间表和通知

- ✓ 您会在审核日后的**17天内**收到SCAN的初始“CAPA行动”通知。
- ✓ 收到初始“CAPA行动”通知后，您需要登录系统确认，然后在**60天内完成**所分配的CAPA。在CAPA全部完成之前，您还会在**第5、10、15、30、45和60天的时间内收到6次提醒邮件**。最后两个CAPA提醒邮件将会密件抄送给您在SCAN系统中绑定的SCAN成员。
- ✓ 收到您提交的CAPA后，**SCAN管理团队将在10天内审阅**，并根据SCAN CAPA要求决定是否接受、重开或拒绝您提交的CAPA回复。
- ✓ 在提交的CAPA因信息不足而被SCAN重开的情况下，您将**至少有14天的时间来完成新一轮的CAPA**。
- ✓ 您应该在**三轮内**完成所有的CAPA。当所有CAPA关闭了，SCAN管理团队会在系统中将审核状态更新为“**Reviewed审查**”，并且发送“CAPA已完成”的通知邮件给您，告知您每个已关闭的CAPA的最终状态，是接受、拒绝或取消。

其它指引和培训资源



其它指引和培训资源

以下是一些您可能会觉得有用的文章和指南的推荐链接：

- [SCAN CAPA Submission in Connect Screen - Technical Steps](#)
- [SCAN Supplier and Factory Training Registration Guide](#)
- [Review and Download SCAN Audit Report](#)
- [Cannot Find My CAPA Task in Connect Screen](#)
- [SCAN Association Website – Vendor/ Location Page](#)

谢谢

如果您有任何疑问，请联系SCAN@scrisksolutions.com.