



SCAN Corrective Actions (CAPAs) Completion Training

By SCAN Program Management Team
April 2025

Disclaimer: This training makes no claim or warranty that the recipient is security compliant in any other private or public domain.

Training Course Overview

- Access to Your SCAN CAPA Task
- Actions to Take Before Working on SCAN CAPAs
- Unacceptable CAPA Responses
- CAPAs Reopened and Reassigned
- SCAN Audit Cadence and Report Validity
- CAPA Timelines and Notifications
- Additional Recommended Resources

**Please note: This training is applicable to all SCAN external (onsite/immersive) audits where CAPAs have been assigned.*

Access to Your SCAN CAPA Task



Activate Your Account in Connect Screen Supplier

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

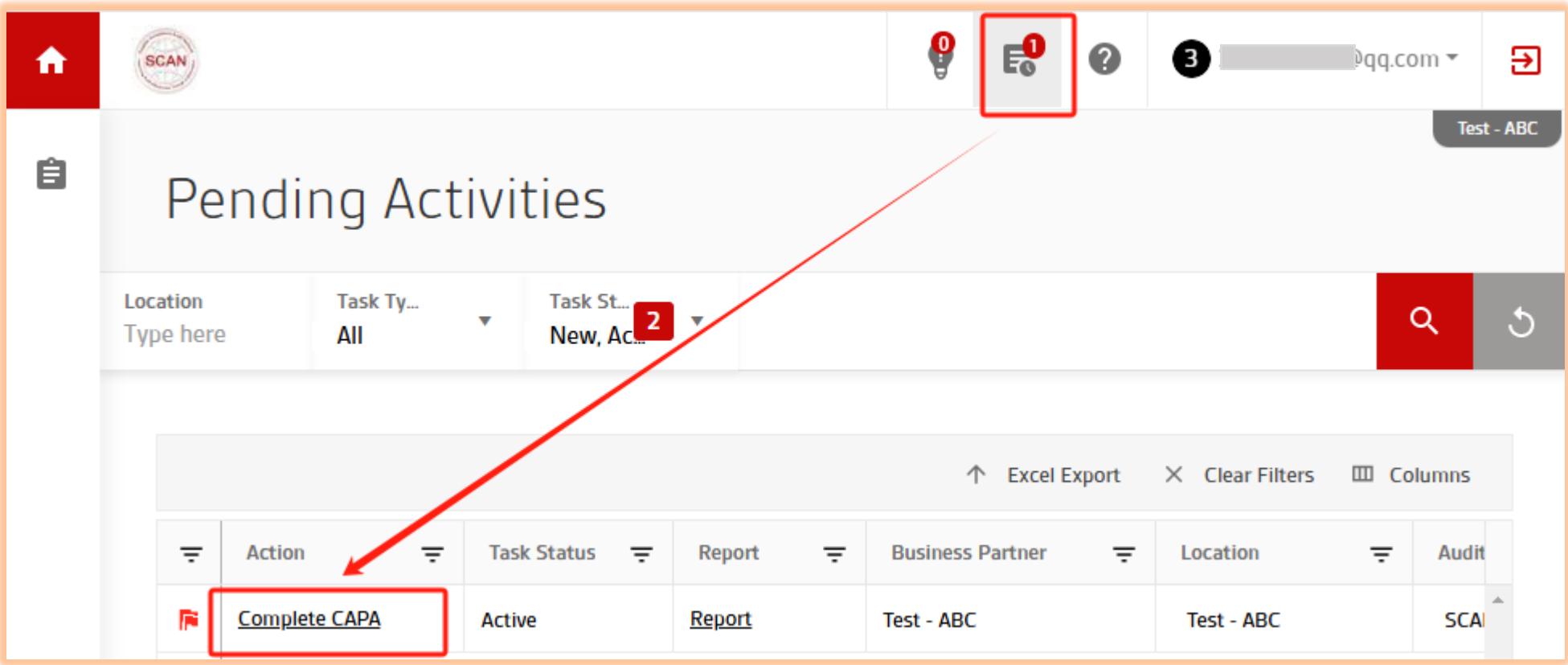
Enter New Password

Confirm New Password

Login

After the audit gets completed by the audit firm, you will receive a CAPA Action notification from SCAN *within 17 days*, and you will have the access to your online audit report and the assigned corrective actions in the system by that time.

Access to Your CAPA Task



The screenshot shows the 'Pending Activities' page in the SCAN system. The top navigation bar includes a home icon, the SCAN logo, a notification icon with a red circle containing the number '1', a help icon, a user profile icon with the number '3', and a dropdown menu showing 'qq.com'. The main heading is 'Pending Activities'. Below the heading are filters for 'Location' (Type here), 'Task Ty...' (All), and 'Task St...' (New, Ac... with a red circle containing the number '2'). To the right of the filters are search and refresh icons. Below the filters is a table with columns: Action, Task Status, Report, Business Partner, Location, and Audit. The first row of the table has the following values: [Complete CAPA](#) (highlighted with a red box), Active, [Report](#), Test - ABC, Test - ABC, and SCA. A red arrow points from the notification icon in the top bar to the 'Complete CAPA' link in the table.

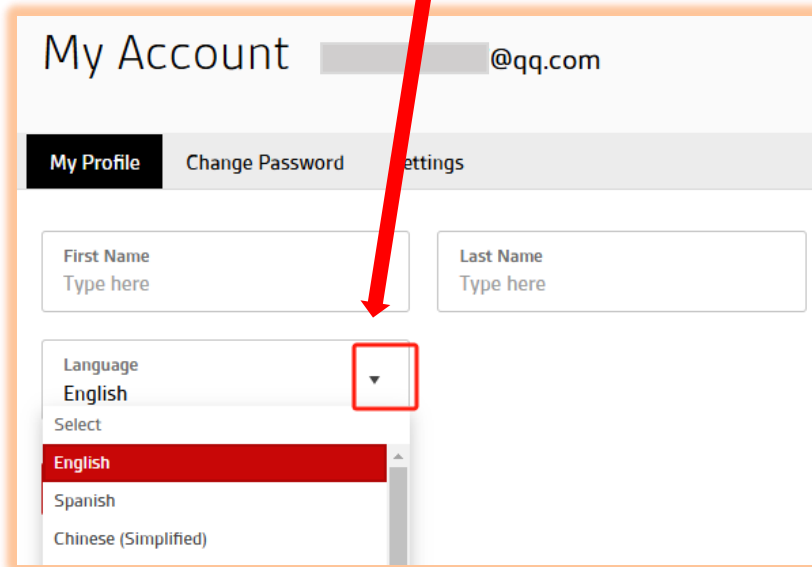
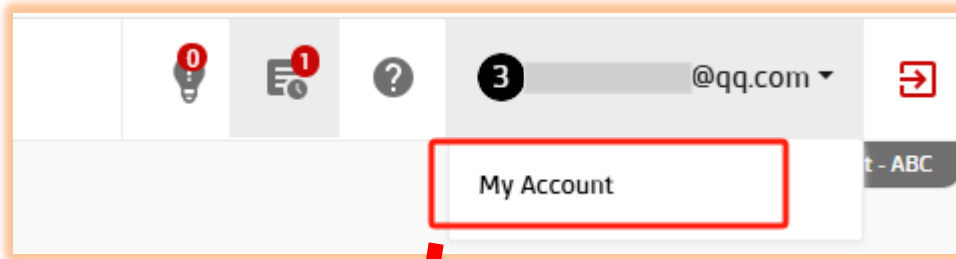
Action	Task Status	Report	Business Partner	Location	Audit
Complete CAPA	Active	Report	Test - ABC	Test - ABC	SCA

Actions to be Taken Before Working on SCAN CAPAs



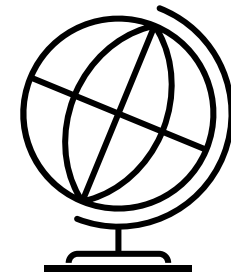
Select Language Preference

Thirteen languages are available for SCAN Audit, CAPA templates, and guidance in the system. Follow the steps in the screenshots below to change the system language as needed.



Available Languages

English (by default)
Spanish
Chinese (Simplified and Traditional)
French
German
Japanese
Russian
Italian
Polish
Portuguese
Turkish
Vietnamese



Select Language Preference

Why is it necessary to change the system language to the local one you're speaking?

1. It allows you to review the assigned corrective actions, guidance, and the report information in the preferred language.
2. You can provide your CAPA comments in the selected language in the system, such as your local language; the system will automatically generate translations in English based on your submitted comments in the CAPA report.

Expected	Answered	
<input checked="" type="radio"/>	<input checked="" type="radio"/>	Already implemented
<input checked="" type="radio"/>	<input type="radio"/>	Will implement
<input type="radio"/>	<input type="radio"/>	Will not implement/ will not comply with corrective action request

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。

*SCAN does not accept non-English CAPA comments in your CAPA report. Thus, **DO NOT FORGET** to change the system language to the one you will use **before** submitting your CAPAs.

Key Information and Guidance

- ✓ **CAPA** – To indicate what necessary information is required on how you have implemented the process, or how you will implement the concerned process.
- ✓ **CAPA Guidance** – To provide you with the **SCAN minimum standard criteria** that you must follow and implement, if you want to get full compliance for this question.

Question Category < Cyber and Information Technology 5 >					
Status 0% Completed (0 of 3)	Questions	Options	Comments (Provide in English)	Attachment	Select
<div>Comments Required;</div> <div>Attachment Required</div>	<p>22 Are test scenarios conducted to identify open ports and IP addresses that create vulnerable access to the internal network?</p> <div> <div>Assigned 2023/02/22</div> <div>Due 2023/04/23</div> <div>Status CAPA in Progress</div> </div> <p>CAPA Include in your cybersecurity policy to implement test scenario's to identify cyber security risks.</p> <ul style="list-style-type: none"> - 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. <p>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.</p> <p>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.</p> <p>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.</p>	<p><input checked="" type="radio"/> Already implemented</p> <p><input type="radio"/> Will implement</p> <p><input type="radio"/> Will not implement/ will not comply with corrective action request</p>	<p>Type comments</p> <p>✓ Comments – Mandatorily required.</p>	<p>Add Attachment</p>	<p>Select to Submit</p>
	<p>✓ Options – Mandatorily required.</p>	<p>✓ Add Attachment – It depends on the question classification and your selection.</p>			

Key Information and Guidance

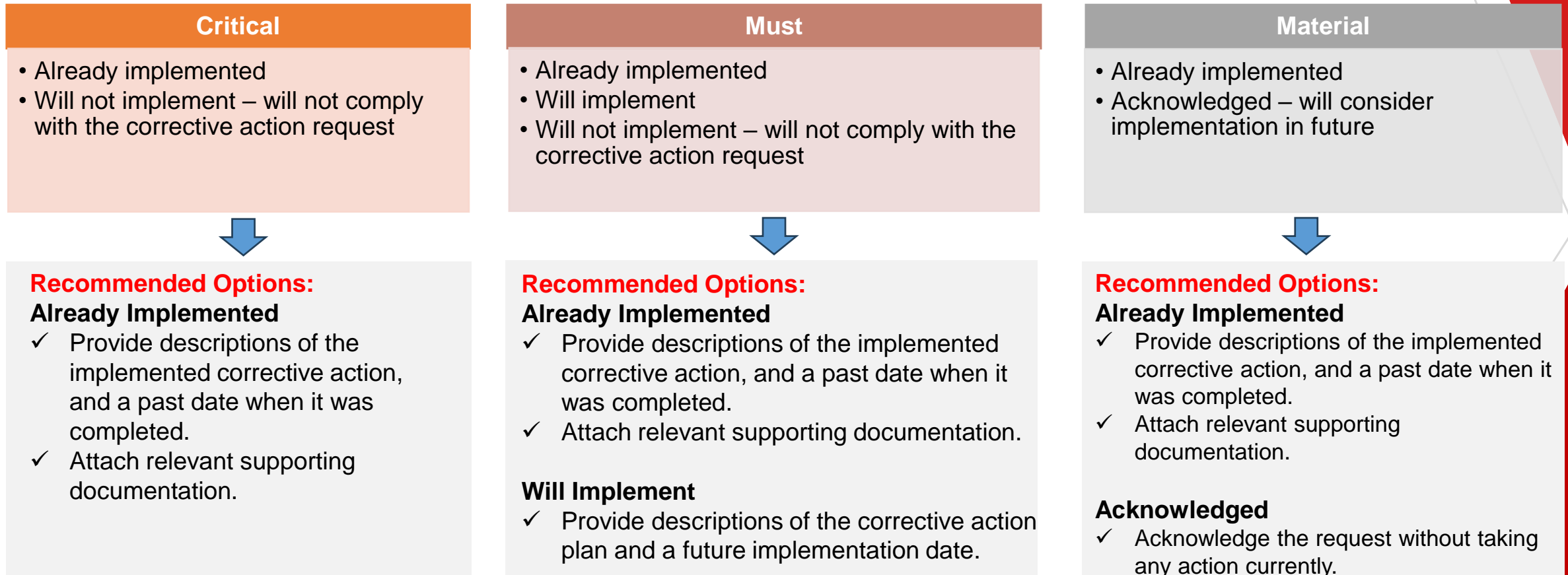
Definition for the CAPA Option

1. **Already Implemented** - Select it when you *have completed* the corrective action, and the evidence of completion/ implementation is available for uploading. **Only** CAPA with this option selected and accepted by SCAN will ensure you a full score for that question, and the post-CAPA score will improve.
2. **Will Implement** - Select it when you only have a corrective action *plan and a future date* of completion/implementation. Usually, when you need longer time beyond 60 days to rectify the issue, you can select this option if available.
3. **Acknowledged - Will consider implementation in future.** This options applies to best practices, which may become a requirement in the future. Selecting this option allows you to defer commitment to implementation.
4. **Will not implement/will not comply with corrective action request** – Select it when you *REFUSE* to complete the corrective action. Failure to meet this requirement will negatively affect the overall audit score and shorten the interval until the next audit request.

Key Information and Guidance

Question Classification

The CAPA options change with the question classifications, which means each question may have different options. The SCAN questions are classified as ***Critical***, ***Must***, and ***Material***.



Additional Information

Status	Questions
0% Completed (0 of 3)	<p>22 Are test scenarios conducted to identify open ports and IP addresses that create vulnerable access to the internal network?</p> <div> <div>Assigned 2023/02/22</div> <div>Due 2023/04/23</div> <div>Status CAPA in Progress</div> <div></div> </div> <p>CAPA: Include in your cybersecurity policy to implement test scenario's to identify cyber security risks.</p> <ul style="list-style-type: none"> - 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 indicates the deadline you must complete the CAPA submission.

Previous Response:

Click on the timer icon, a pop-up window will be opened and displaying the auditor's original comments in the audit report. If you previously submitted a CAPA but got reopened and reassigned by SCAN, you can view all your earlier CAPA comments along with SCAN's "Reopen Comments."

These previous responses are intended to help you understand the specific areas that require improvement for the question in concern.

The **Color Bar** indicates the mandatory information required before submitting a CAPA.
Due indicates the deadline by which the CAPA submission must be completed.

Previous Response				
Audit/CAPA			Options	Comments
Assigned 2023/02/22	Due 2023/04/08	Submitted 2023/02/22	<input type="radio"/> Vulnerability tests are conducted by IT personnel <input checked="" type="radio"/> No vulnerability tests are conducted	No vulnerability tests are conducted

Key Information and Guidance

Reminders

- Regardless of the question classification, ***an attachment*** will be mandatorily required when “***Already Implemented***” is selected by you. It’s highly recommended if you have completed the corrective actions and the evidence is available, select this option to obtain full score.
- **DO NOT** select the option “Will not implement – will not comply with corrective action request”. Refusing to comply with the requests may be negatively viewed by the SCAN members. This indicates that you acknowledge your final score for this question will be reduced. More importantly, it may negatively affect your report's validity, making it ineligible for the two-year audit cadence.
- When submitting an attachment of a written procedure, upload only the page(s) containing the required processes. Avoid uploading just the cover page or the entire procedure document.
- **DO NOT include any retailer (importer) company name** in your CAPA comments or attachments. SCAN is an audit sharing platform so it’s crucial to keep the confidentiality of your customer information, whether it’s a SCAN member or not.

Unacceptable CAPA Responses



Unacceptable CAPA Responses

❌ Discrepancies Among Options, Comments, Attachments

In below scenario, factory selected the option “Already Implemented” but only provided a corrective action plan and a future date in the comments box. SCAN reopened and reassigned the CAPA to the factory due to the discrepancies between the selection and comments.

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.

☒ 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.

Unacceptable CAPA Responses

- ❌ Missing the date of implementation for CAPA (corrective and preventative action).
- ❌ Missing future date of completion for CAP (corrective action plan).

In below scenario, factory selected the option “**Already Implemented**” but a past date of implementation is not provided in the comments box. SCAN reopened and reassigned the CAPA to the factory requesting them to add a past date in the comments box to confirm the corrective action has already been taken and completed.

<p>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.</p> <table border="1"> <thead> <tr> <th>Assigned</th> <th>Due</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td>2023/02/22</td> <td>2023/04/23</td> <td>CAPA in Progress </td> </tr> </tbody> </table> <p>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.</p>	Assigned	Due	Status	2023/02/22	2023/04/23	CAPA in Progress	<p><input checked="" type="radio"/> Already implemented</p> <p><input type="radio"/> Will not implement/ will not comply with corrective action request</p>	<p>All containers before loading are stored in a fenced area with CCTV and security staff monitored.</p>
Assigned	Due	Status						
2023/02/22	2023/04/23	CAPA in Progress						

Unacceptable CAPA Responses

- Uploaded attachment is NOT in English, and NO clear descriptions of the procedure or corrective actions provided in comments box.

Example: A factory added an attachment and it's a copy of a written procedure. In the comments box, factory simply commented "Already Implemented. See attached", but the attached procedure was in Vietnamese.

SCAN reopened and reassigned the CAPA to the factory, requesting them to provide a description of the relevant processes and actions taken in English within the comments box for further review.

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 comments box. 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

<div>CHƯƠNG TRÌNH AN NINH C-TPAT</div>		Mã số: LF-AN-42 Lần ban hành: 03 Ngày hiệu lực: 18/11/2024
<div>QUẢN LÝ VÀ CÁCH KHẮC PHỤC LỖ HỒNG AN NINH MẠNG</div>		Phiên bản: A/2

1. Khắc phục lỗ hồng: Định nghĩa và phạm vi

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

Đầu tiên, chúng tôi phát hiện các lỗ hồng "ẩn" 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 hồng 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

CAPAs Reopened and Reassigned



CAPAs Reopened and Reassigned

According to the process, SCAN will review your CAPAs and notify you within 10 days whether further action, or a new round of CAPA is required or not. If any CAPAs are reopened, you will receive a new CAPA Action Notification from SCAN.

We need your serious attentions to following guidance in such situation:

- ✓ To complete the new round of CAPAs efficiently, in addition to reviewing the CAPA guidance carefully, please review the "Reopen Comments" provided by SCAN on the CAPA page. These comments will outline what specific information are still needed for an acceptable CAPA.
- ✓ **DO NOT** submit the same responses which you previously submitted. If you are unable to complete and have any assigned CAPAs approved by SCAN within **three rounds**, those will be rejected, and your final audit report may be ineligible for the two-year audit cadence.

Status	Questions	Options	Comments <small>(Provide in English)</small>
100% Completed (1 of 1)	<p>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?</p> <div> <div>Assigned</div> <div>Due</div> <div>Status</div> </div> <div> <div>2023/11/28</div> <div>2023/12/15</div> <div>CAPA in Progress</div> </div> <p>CAPA: The training material had been sent to you, please complete the training and upload certificate for review.</p> <div> <div>★★★★</div> <div> <p>Reopen Comments: Your comments were in Chinese, please describe your corrective action in English for review.</p> <p>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.</p> </div> </div>	<p><input checked="" type="radio"/> Already implemented</p> <p><input type="radio"/> Will not implement/ will not comply with corrective action request</p>	<p>We have completed the SCAN Factory and Supplier Training on 2023/11/20.</p>

SCAN Audit Cadence and Report Validity



Audit Cadence and Report Validity

SCAN Security Audit Cadence and Report Validity

The SCAN onsite/immersive audit is valid for one year. To qualify for a 2-year audit cadence, the following criteria must be met:

- A compliance score of **95% or higher**, with all Corrective Actions addressed and approved by SCAN; **or**
- A compliance score between **85% and 94%**, provided the country security risk is **Low, Guarded, or Elevated**, and all Corrective Actions are addressed and approved by SCAN
- In addition to either of the above requirements, 12 months from the day the audit was conducted, the facility must complete a SCAN self-audit assigned by SCAN PMT.

Please note: Addressing the corrective actions means that your submitted CAPA responses have been accepted and approved by SCAN. These responses may include a corrective action plan or descriptions for completed corrective actions. Please refer to the key information and guidance provided in previous sessions to make proper decisions what you need to provide for concerned CAPA question.

Audit Cadence and Report Validity

Regardless of your original audit compliance score and the country security risk rating, when any of the assigned corrective actions are not addressed and accepted by SCAN, your audit report will not be eligible for two years' cadence in SCAN system.

The following circumstances are considered CAPA NOT addressed, and your audit report will be valid for one year. The audit report will also be tagged with sub status “**CAPAs: No responses – Closed**”, or “**CAPAs: Partially addressed - Closed**” in the system.

CAPAs: No responses – Closed

- No assigned corrective actions are ever completed and submitted in the system.

CAPAs: Partially addressed – Closed

- One or above corrective actions are rejected by SCAN due to factory not submitting proper and sufficient responses after **three (3) CAPA rounds**.
- Option “Will not implement – will not comply with corrective action request” is selected for one or above corrective actions due to factory refusing to improve the non-compliant issues.

CAPA Timelines and Notifications



CAPA Timelines and Notifications

- ✓ You can expect an **the initial “CAPA Action” Notification from SCAN within 17 days after audit day.**
- ✓ Upon receiving the initial "CAPA Action" notification, you are expected to log into the system for acknowledgement, then **complete the assigned CAPAs within 60 days.** There will be additional six automatic CAPA reminders sent to you on 5, 10, 15, 30, 45, and 60-day mark until CAPAs are all completed. SCAN members are blind copied in the last two CAPA reminders.
- ✓ After receiving your submitted CAPAs, **SCAN PMT would review the responses within 10 days** and determine whether to accept, reopen, or reject the CAPA responses based on SCAN CAPA requirements.
- ✓ In the situation that the submitted CAPAs are reopened due to insufficient responses, **you will have at least 14 days to complete the new CAPA round.**
- ✓ **You are expected to complete all SCAN CAPAs within three CAPA rounds.** Once all CAPAs are closed, SCAN PMT will update the audit status to **“Reviewed”** in the system. A “CAPA Completed” notification will be sent to you notifying the final status of each closed CAPA, such as **accepted, rejected, or cancelled.**

Additional Recommended Resources



Additional Recommended Resources

The following are recommended links to some useful articles and guidance you may find helpful:

- [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](#)



Thank you

If there are any questions, please contact SCAN@scrisksolutions.com.