

	Social Respo	V Opco, LLC nsibility Monitorir	og Renort	
Report#: Date:	Ообщиновро	Factory Name	Audit Type:	
Overall Rating So	cial Responsibility		Overall Rating CTPAT	
Agent Company (if applica	able):			
Vendor Company (if appli	cable):			
Name of Audited Facility:				
Physical Location Address	s:			
Mailing Address:				
Contact Name:				
Title:				
Telephone #:				
Fax #:				
Email:				
		MONITORED BY		
Name of Company:				
Name of Monitor:				
Audit Date:				



#### **FACTORY PROFILE**

#### **General Profile** The following factory profile is for the factory named physical address listed on page 1. The total land area occupied by the facility is about The factory has operated at this location since under the current owner. The main products manufactured by the factory are **Buildings** Enter number of buildings in factory complex by type Total buildings: Production: Storage/Warehouse: Canteen: Dormitories: Other: Specify other type: **Production** The main production processes are listed as follows: Total number of employees: # of Production Workers # of Non-Production workers # of local employees # of Migrant employees Wages of worker are calculated based on what type of rate? The peak season is from to Working hours in the factory are from {time} to {time}. Include multiple shifts below if necessary. Breaks are {list}. Type of articles produced: Is there Vince Production in this factory? Yes 🗌 If yes what % No. List other brands produced in this factory and percentage dedicated to each brand: Processes the factory is capable of: (Select from Following List): Assembly Finishing Molding Sewing Cutting □Injection Packing Trimming Dying ☐ Inspection Painting / Spraying Washing

Total Number of	Cuttore	Sproadores	Single	Doubles
Machines:	Cutters:	Spreaders:	Single:	Double:

Pressing

Laundry

☐ Embroidery

Other (specify)



Multi:	Over lock:	Bar tack:	Buttonhole:	Button sew:
Pressers:	Blind stitch:	Other:	Other:	Other:
Production Capacity per week (estimate):				
Required Lead Time (from placing order to Shipment)				



#### **AUDIT PROCESS**

#### General

Factory's operation was assessed / verified against the V Opco, LLC Code of Conduct and local legislations on a sampling basis.

Total Number of Workers interviewed:	# of Women	# of Men
Number of records reviewed	From the month of:	Current
Number of records reviewed	From the month of:	Peak or Non Peak
Number of records reviewed	From the month of:	Peak or Non Peak

### **Communicated Findings with:**

Name:	Title:
Name:	Title:
Name:	Title:
Name:	Title:



## **SPECIFIC FINDINGS**

1.	Legal Requirements Customs / Transshipment	Acceptable	☐ Needs Improvement	Unacceptable
Exc	eptions:			
	ase state legal or V Opco, LLC r ponse.	equirement, non-complian	t finding, evidence of non-	compliance and factory
2.	Child Labor	Acceptable	☐ Needs Improvement	Unacceptable
	legal working age is this countr			
	al working age for authorized m			
	l what age, if any, are children l		chool in this country:	
Wha	at is the youngest age of anyone	working in this facility:		
Plea	eptions: ase state legal or V Opco, LLC r oonse.	equirement, non-complian	t finding, evidence of non-	compliance and factory
3.	Forced Labor	☐Acceptable	☐ Needs Improvement	Unacceptable
Plea resp	eptions: ase state legal or V Opco, LLC roonse. pco, LLC prohibits force, prisor cory or must one return to their	n, indentured or bonded lab		



4.	Wages and Benefits	□Acc	eptable	□Need	ds Improvement	Unacceptable
		I		Local Currency	US Dollar	Exchange rate
				Specify:		
Min	Minimum legal wage applicable to the industry		Hourly			USD 1 =
indu			Weekly			USD 1 =
Askusl mainimum usasa maid butha fastamu		Monthly			USD 1 =	
Act	Actual minimum wage paid by the factory		Hourly			USD 1 =
		Weekly			USD 1 =	
		Monthly			USD 1 =	
Prevailing Industry wage, if available		Hourly			USD 1 =	
		Weekly			USD 1 =	
			Monthly			USD 1 =
Ave	verage wage paid in this factory		Hourly			USD 1 =
			Weekly			USD 1 =
			Monthly			USD 1 =
Exc	eptions:					•
Plea	ase state legal or V Opco, LLC oonse.	requiren	nent, non-d	compliant finding,	, evidence of non-c	compliance and factory



5. Working Hours		Acceptable	☐ Needs Imp	provement	Unacceptable
		(Actual) F	actory		By Law
Normal work hours per week					
Maximum hours worked per day					
Maximum hours worked per week					
Maximum overtime hours per day					
Maximum overtime hours per weel	<				
Average overtime hours per day					
Average overtime hours per week					
Maximum number of continuous wo	rkdays				
Average Total Hours Per Week Peak					
Average Total Hours Per Week Non F	Peak				
Exceptions:  Please state legal or V Opco, LLC r response.	equireme	nt, non-compliar	nt finding, evide	ence of non-c	compliance and factory
	Pa	ayroll/Time Reco	ord Cross Chec	<mark>ck</mark>	
Production or other factory reco			_		nd payroll records:
2. Production or other records we	re consist	ent with attendar	nce and payroll	records:	
3. Which records were not consist	ent with a	ittendance and pa	ayroll records?		
4. What inconsistencies were for	und?				
5. Did interviewed employees con	firm they	are compensated	I for all hours w	orked?	
6. Did interviewed employees con records?  ☐Yes ☐No	firm work	hours and comp	ensation as rep	oorted on fac	tory attendance and payroll
7. If inconsistencies found and qu ☐Yes ☐No					
8. Was any evidence found that fa hours for which they are not co			e wages paid to	employees	or that employees are working
9. If answer to 8 is yes, describe fi	nding.				



6.	Discrimination and Women's Rights	Acceptable	☐ Needs Improvement	Unacceptable
Plea	eptions: use state legal or V Opco, LLC r oonse.	equirement, non-complian	nt finding, evidence of non-c	ompliance and factory
7.	<b>Disciplinary Practices</b>	Acceptable	□ Needs Improvement	Unacceptable
Plea	eptions: use state legal or V Opco, LLC r nonse.	equirement, non-complian	nt finding, evidence of non-c	ompliance and factory
8.	Free Association	Acceptable	□Needs Improvement	Unacceptable
Plea	eptions: use state legal or V Opco, LLC r nonse.	equirement, non-complian	nt finding, evidence of non-c	ompliance and factory
9A.	Health and Safety	Acceptable	☐ Needs Improvement	Unacceptable
Plea	eptions: ase state legal or V Opco, LLC r oonse.	equirement, non-complian	nt finding, evidence of non-c	ompliance and factory
9B.	Health and Safety – Dormitories (if applicable)	Acceptable / Not Applicable	☐ Needs Improvement	□Unacceptable
Plea	eptions: use state legal or V Opco, LLC r oonse.	equirement, non-complian	nt finding, evidence of non-c	ompliance and factory



10.	Environmental Safekeeping	Acceptable	☐Needs Improvement	□Unacceptable
Exce	eptions:			
	se state legal or V Opco, LLC re	equirement, non-complian	t finding, evidence of non-c	ompliance and factory
resp	onse.			

# **V OPCO, LLC C-TPAT QUESTIONNAIRE FOR FACTORIES**

Company:		 	
Address: _	 	 	

**Minimum Security** 

	Minimum Security Criteria Requirement	
	(Must/Should)	
eneral Security	(YE	ES OR NO)
► Factory has a written security plan. *If yes, please provide a copy of the Factory Security Manual and/or written procedures.	MUST	
Factory has a designated security officer. *If yes, please provide name and contact information:	MUST	
Factory maintains copies of the third party audits/inspections of plant factory.	SHOULD	
ecurity, Vision, and Responsibility (only applicable to C-TPAT members in Canada and Mexico)	(YE	ES OR NO)
1 Factory demonstrates its commitment to supply chain security and the security program through a statement of support, which is signed by a senior		
company official and displayed in appropriate company locations.	SHOULD	
1.2 Factory incorporates representatives from all of the relevant departments into a cross-functional Supply Chain Security team.	SHOULD	
1.3 The supply chain security program are designed with, supported by, and implemented by an appropriate written security policies and procedures. The		
policies and procedures are updated as needed based on pertinent changes in an organization's operations and level of risk.	MUST	
.4 Factory's Point(s) of Contact (POC) to security must be knowledgeable about security program requirements.	MUST	
Risk Assessment (only applicable to C-TPAT members in Canada and Mexico)		ES OR NO)
2.1 Factory conducts an overall risk assessment to identify where security vulnerabilities may exist in their supply chains annually or more frequently as risk assessment to identify where security vulnerabilities may exist in their supply chains annually or more frequently as risk assessment.		
factors dictate.  2.2 The international portion of the risk assessment documents or maps the movement of the factory's cargo throughout its supply chain from the point of the international portion of the risk assessment documents or maps the movement of the factory's cargo throughout its supply chain from the point of the international portion of the risk assessment documents or maps the movement of the factory's cargo throughout its supply chain from the point of the international portion of the risk assessment documents or maps the movement of the factory's cargo throughout its supply chain from the point of the risk assessment documents or maps the movement of the factory's cargo throughout its supply chain from the point of the factory's cargo throughout its supply chain from the point of the factory's cargo throughout its supply chain from the point of the factory's cargo throughout its supply chain from the point of the factory's cargo throughout its supply chain from the point of the factory's cargo throughout its supply chain from the point of the factory's cargo throughout its supply chain from the point of the factory's cargo throughout its supply chain from the factory's cargo throughout its supply chain from the factory of the factory's cargo throughout its supply chain from the factory of the	MUST	
origin to the importer's distribution center.	SHOULD	
2.3 Factory performs periodic security assessments.	MUST	
2.4 Factory has written procedures in place that address crisis management, business continuity, security recovery plans and business resumption.	SHOULD	
Business Partners		ES OR NO
3.1 Factory has a written, risk-based process for screening new business partners and for monitoring current partners. Factory should also include in this	(11-	S UR NU)
process checks on activity related to money laundering and terrorist funding.	MUST	
3.2 Factory's business partner screening process should take into account whether a partner is a CTPAT member or a member in an approved Authorized		+
Economic Operator (AEO) program with a Mutual Recognition Arrangement (MRA) with the United States (or an approved MRA). Factory obtains		
evidence of the certification from the business partner(s) and are continuously monitored to ensure they maintain their certification.	MUST	
3.3 Factory exercises due diligence (via visits, questionnaires, etc.) to ensure their business partners have security measures in place that meet or exceed		
CTPAT's Minimum Security Criteria (MSC).	MUST	
3.4 Weaknesses identified during business partners' security assessments are addressed and corrections are implemented in a timely manner. Factory		
requires documentary evidence be provided to confirm deficiencies have been corrected.	MUST	
3.5 Factory performs security assessments of business partners at least annually or more frequently as circumstances/risks dictate.	SHOULD	
3.6 For inbound shipments to the United States, if a factory subcontracts transportation services to another highway carrier, the factory must use a CTPAT		
certified highway carrier or a highway carrier that works directly for the factory as delineated through a written contract. The contract must stipulate		
adherence to all minimum security requirements. ***Only applicable for inbound shipments from Canada and Mexico	MUST	
3.7 Factory has a documented social compliance program in place that, at minimum addresses how the company ensures goods imported into United States		
were not mined, produced or manufactured, wholly or in part, with prohibited forms of labor, e.g. forced, imprisoned, indentured or indentured child	SHOULD	
Cybersecurity including Information Technology		S OR NO)
4.1 Factory has comprehensive written cybersecurity policies and/or procedures to protect information technology (IT) systems. The written IT policy, at a		
minimum, must cover all of the individual Cybersecurity criteria. 4.2 To defend Information Technology (IT) systems against common cybersecurity threats, factory must install sufficient software/hardware protection from	MUST	_
malware (viruses, spyware, worms, Trojans, etc.) and internal/external intrusion (firewalls) in their computer systems. Factory must ensure their secur		
software is current and receives regular security updates.	MUST	
4.3 Factory must also have policies and procedures in place to prevent attacks via social engineering. If a data breach occurs or another unseen event resu		
in the loss of data and/or equipment, procedures must include the recovery (or replacement) of IT systems and/or data.	MUST	
4.4 Factory must regularly test the security of their IT infrastructure. If vulnerabilities are found, corrective actions must be implemented as soon as feasib		
4.5 Factory's cybersecurity policies or procedures address how factory shares information on cybersecurity threats with the government and other		
business partners.	SHOULD	
4.6 Factory must have a system in place to identify unauthorized access of IT systems/data, or abuse of policies and procedures, including improper access	5	
of internal systems or external websites, and tampering with or altering of business data by employees or contractors. All violators must be subject to		
appropriate disciplinary actions.	MUST	
4.7 Cybersecurity policies and procedures must be reviewed annually, or more frequently, as risk or circumstances dictate. Following the review, corrective	e	
actions are implemented in a timely manner if vulnerabilities are found.	MUST	
4.8 Factory has policies in place to restrict user access based on job description or assigned duties. Authorized access must be reviewed on a regular basis		
ensure access to sensitive systems is based on job requirements. Computer and network access must be removed upon employee separation.	MUST	
4.9 Factory requires individuals with access to Information Technology (IT) systems to use individually assigned accounts.	MUST	
10 Factory uses strong passwords, passphrases, or other forms of authentication, to protect IT systems from infiltration. User access to IT systems must be acformed at all times.		
safeguarded at all times.	MUST	
11 Factory requires passwords and/or passphrases be changed as soon as possible if there is evidence of compromise or reasonable suspicion of a 12 Factory must employ secure technologies, such as virtual private networks (VPNs) to allow employees who must connect remotely to access the	MUST	
company's intranet securely when located outside of the office. Factory must also have procedures designed to prevent remote access from	MUST	
13 If factory allows their employees to use personal devices to conduct company work, all such devices must adhere to the company's cybersecurity	111031	_
policies and procedures to include regular security updates and a method to securely access the company's network.	MUST	
14 Cybersecurity policies and procedures include measures to prevent the use of counterfeit or improperly licensed technological		+
products.	SHOULD	
.15 Factory's data should be backed up once a week or as appropriate. All sensitive and confidential data should be stored in an encrypted format.	SHOULD	
.16 All media, hardware, or other IT equipment that contains sensitive information regarding the factory's import/export process are accounted for through		
regular inventories. When disposed, they must be properly sanitized and/or destroyed in accordance with the National Institute of Standards and	MUST	
Technology (NIST) Guidelines for Media Sanitization or other appropriate industry guidelines.	141031	
Technology (NIST) Guidelines for Media Sanitization or other appropriate industry guidelines.		S OR NO
	(YE	ES OR NO)
Technology (NIST) Guidelines for Media Sanitization or other appropriate industry guidelines.  Conveyance and Instruments of International Traffic Security (Container Security)	(YE	ES OR NO)

their structures have not been modified to conceal contraband, or have not been contaminated with visible agricultural pests.	re	
Inspection requirements for CTPAT shipments via ocean, air, and land borders (as applicable) by rail or intermodal freight include an eight-point		
inspection on all containers and ULDs prior to loading/stuffing. The follow items should be checked:		
1. Front wall		
2. Left side		
3. Right side		
4. Floor		
5. Ceiling/Roof		
6. Inside/outside doors, including the reliability of the locking mechanisms of the doors;		
7. Outside/Undercarriage		
	MUST	
8. Check for pests	IVIUST	
For land border crossings via highway carriers, additional inspection requirements include inspections of containers and trucks at conveyance/IIT storal yards. When possible, inspections are conducted upon entering/departing the storage yard and at the point of loading/stuffing. These systematic inspections must include 17-point inspections:	ge	
Tuestone		
Tractors (i.e., i.e., i.		
1. Bumper/tires/rims		
2. Doors, tool compartments and locking mechanisms		
3. Battery box		
4. Air breather		
5. Fuel tanks		
6. Interior cab compartments/sleeper		
7. Faring/roof		
<u>Trailers</u>		
1. Fifth wheel area - check natural compartment/skid plate		
2. Exterior - front/sides		
3. Rear - bumper/doors		
4. Front wall		
5. Left side		
6. Right side		
7. Floor		
8. Ceiling/roof		
9. Inside/outside doors and locking mechanism		
10. Outside/Undercarriage	MUST	
Factory must utilize containers and trucks equipped with external hardware that can reasonably withstand attempts to remove it or tamper with. The		
door, handles, rods, hasps, rivets, brackets, and all other parts of a container's locking mechanism must be fully inspected to detect tampering and any		
hardware inconsistencies prior to the attachment of any sealing device	MUST	
Factory records all inspections of containers and trucks on a checklist. The following elements should be documented on the checklist:		
Container/Trailer/Instruments of International Traffic number;		
• Date of inspection;		
• Time of inspection;		
Name of employee conducting the inspection; and		
• Specific areas of the Instruments of International Traffic that were inspected.		
	1	
If the inspections are supervised, the supervisor should also sign the checklist.		
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Updated 10/22/2024

6.3	Written seal controls must include the following elements:		
	Controlling Access to Seals     Management of seals is restricted to authorized personnel.		
	• Secure storage.		
	Inventory, Distribution, & Tracking (Seal Log)  • Recording the receipt of new seals.		
	• Issuance of seals recorded in log.		
	• Track seals via the log.		
	Only trained, authorized personnel may affix seals to containers.		
	Controlling Seals in Transit		
	When picking up sealed IIT (or after stopping) verify the seal is intact with no signs of tampering.		
	Confirm the seal number matches what is noted on the shipping documents.		
	Seals Broken in Transit		
	• If a load is examined, record the replacement seal number.		
	• The driver must immediately notify dispatch when a seal is broken, indicate who broke the seal, and provide the new seal number.		
	<ul> <li>The carrier must immediately notify the shipper, broker, and importer of the seal change and the replacement seal number.</li> <li>The shipper must note the replacement seal number in the seal log.</li> </ul>		
	Seal Discrepancies		
	<ul> <li>Retain altered or tampered seals to aid in investigations.</li> <li>Investigate the discrepancy; follow-up with corrective measures (if warranted).</li> </ul>		
	• As applicable, report compromised seals to CBP and the appropriate foreign government to aid in the investigation.	MUST	
6.4	All international shipments are secured immediately after loading/stuffing/packing by the responsible party (ie. factory or authorized packer acting on factory's behalf) with a high security seal that meets or exceeds the most current ISO 17712 standard for high-security seals. Factory must ensure that all		
	seals used must be securely and properly affixed to containers.	MUST	
6.5	Factory must document and maintain all seal audit logs. Annual seal audits, conducted by either a factory manager or a security supervisor, must include		
	periodic inventory of stored seals and reconciliation against seal inventory logs and shipping documents. As part of the overall seal audit process, dock supervisors and/or warehouse managers must periodically verify seal numbers used on containers.	MUST	
6.6	Factory seal verification process ensures all high-security seals such as bolts and cables are affixed properly to all containers and are operating as	IVIOST	
	designed. Factory follows below VVTT process:		
	V – View seal and container 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.	MUST	
	ocedural Security	A 4110T	(YES OR NO)
	Factory must ensure cargo is secure from unauthorized access when cargo is staged overnight or for an extended period of time.  Factory must ensure cargo staging areas, and the immediate surrounding areas, be inspected at least monthly to make sure these areas remain free	MUST	
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7.2 7.3 7.4 7.5 7.6 7.7 7.8 7.9 7.10 7.11 7.12 7.13 7.14 7.15 8. Ag 8.1 8.2 8.3 9. Ph 9.1 9.2	Factory must ensure cargo staging areas, and the immediate surrounding areas, be inspected at least monthly to makre sure these areas remain free of visible pest contamination.  The loading/stuffing of cargo into containers should be supervised by a security officer/manager or other designated personnel of the factory.  Factory should document evidence of the properly installed seal with digital photographs taken at the point of stuffing. To the extent feasible, these images should be electronically forwarded to the destination for verification purposes.  Factory has procedures in place to ensure that all information used in the clearing of merchandise/cargo is legible, complete, accurate, protected against the exchange, loss, or introduction of erroneous information, and reported on time.  Unused paper documents, forms, and other import/export related documentation should be secured to prevent unauthorized use.  Factory must ensure that bill of ladings (BOLs) and/or manifests accurately reflect the information provided to the carrier, such as weight and piece Factory must ensure that bill of ladings (BOLs) and/or manifests accurately reflect the information provided to the carrier, such as weight and piece Factory must have written procedures for reporting an incident, which includes a description of the factory is cauchy is such as weight and piece Factory has procedures include accurate contact information that lists the name(s) and phone number(s) of factory personnel requiring notification, as well as for law enforcement agencies. Procedures must be annually reviewed to ensure contact information is accurate.  Factory has procedures in place to identify, challenge, and address unauthorized/unidentified persons. Employees must know the protocol to challenge an unknown/unauthorized person, how to respond to the situation, and be familiar with the procedure for removing an unauthorized individual from Factory should have a protocol in place to report security related issues annonymously. When an allegation is	MUST SHOULD  MUST SHOULD MUST  MUST  MUST  SHOULD MUST  SHOULD SHOULD SHOULD SHOULD SHOULD SHOULD SHOULD SHOULD  MUST	

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9.7			
	Factory must have written policies and procedures governing the use, maintenance, and protection of their security technology.		
	At a minimum, these policies and procedures must stipulate:		
	That access to the locations where the technology is controlled or managed is limited to authorized personnel;		
	The procedures that have been implemented to test/inspect the technology on a regular basis;		
	• That the inspections include verifications that all of the equipment is working properly, and if applicable, that the equipment is positioned correctly;		
	• That the results of the inspections and performance testing is documented;		
	• That if corrective actions are necessary, they are to be implemented as soon as possible and the corrective actions are documented;		
0.0	• That the documented results of these inspections be maintained for a sufficient time for audit purposes.  If a third party central monitoring station (off-site) is used, factory has written procedures stipulating critical systems functionality and authentication	MUST	
9.8	protocols such as (but not limited to) security code changes, adding or subtracting authorized personnel, password revision(s), and systems access or	MUST	
9.9	Factory reviews and updates security technology policies and procedures annually, or more frequently, as risk or circumstances dictate.	MUST	
	Factory should use licensed/certified resources when considering the design and installation of security technology.	SHOULD	
	All security technology infrastructure must be physically secured from unauthorized access.	MUST	
9.12	Factory configures security technology systems with an alternative power source that will allow the systems to continue to operate in the event of an	SUGUE	
0.12	unexpected loss of direct power.  If camera systems are deployed, cameras should monitor a factory's premises and sensitive areas to deter unauthorized access. Alarms should be used	SHOULD	
9.13	to alert factory personnel to unauthorized access into sensitive areas.	SHOULD	
9.14	Cameras must be positioned to cover key areas of factory's facilities that pertain to the import/export process. Cameras should be programmed to	5.1.0015	
	record at the highest picture quality setting available, and be set to record on a 24/7 basis.	MUST	
	Cameras should have an alarm/notification feature, which would signal a "failure to operate/record" condition.	SHOULD	
9.16	Factory's management, security team, or other designated personnel, must conduct random periodic reviews of the camera footage at least once every		
	3 months to verify that cargo security procedures are being properly follow. Results of the reviews must be summarized in writing to include any corrective actions taken. Factory must maintain the results for a sufficient time for audit purposes.	MUST	
9 17	Factory should maintain recordings of footage covering key import/export processes for at least 90 days to allow sufficient time for an investigation to	SHOULD	
	nysical Access Controls	5.10015	(YES OR NO)
	Factory must have written procedures governing how identification badges and access devices are granted, changed, and removed. A personnel		(123 en 116)
	identification system must be in place for positive identification and access control purposes. Access to sensitive areas must be restricted based on job		
	description or assigned duties. Removal of access devices must take place when the employees separate from the company.	MUST	
10.2	Factory must require all visitors, vendors, and service providers to present photo identification upon arrival, and a log be maintained to record the		
	details of the visit. All visitors are to be escorted throughout the facility. Temporary identification such as ID badges are issued to all visitors and are		
	visibly displayed at all times during the visit.		
	The registration log must include the following:		
	Date of the visit		
	• Visitor's name		
	• Verification of photo identification (type verified such as license or national ID card). Frequent, well known visitors such as regular vendors may forego		
	the photo identification, but must still be logged in and out of the facility.  • Time of arrival		
	Company point of contact		
	• Time of departure	MUST	
10.3	Factory's registration log must include the following:		
	ractory's registration log must include the following.		
	Date of the visit		
	• Visitor's name		
	• Verification of photo identification (type verified such as license or national ID card). Frequent, well known visitors such as regular vendors may forego		
	the photo identification, but must still be logged in and out of the facility.		
	Time of arrival		
	Company point of contact		
	• Time of departure	MUST	
10.4	Factory requires all drivers delivering or receiving cargo present government-issued photo identification to factory security personnel before cargo is		
10.5	received or released.  Factory must maintain a cargo pickup log to register drivers and record the details of their conveyances when picking up cargo. The cargo log must be	MUST	
10.5	kept secured, and drivers must not be allowed access to it.	MUST	
10.6	·		
	The cargo pickup log must have the following items recorded:		
	• Driver's name		
	Date and time of arrival		
	• Employer		
	• Truck number		
	• Trailer number		
	Time of departure		
	The seal number affixed to the shipment at the time of departure	MUST	
	Prior to arrival, the carrier are required to notify the factory of the estimated time of arrival for the scheduled pick up, the name of the driver and truck	SHOULD	
	Factory should periodically screen arriving packages and mail for contraband before being admitted.  If cognitive quards are used, work instructions for sequitive quards are contained in the factory's written policies and procedures. Management must	SHOULD	
	If security guards are used, work instructions for security guards are contained in the factory's written policies and procedures. Management must periodically verify compliance and appropriateness with these procedures through audits and policy reviews.	MUST	
	ersonnel Security	MOST	(YES OR NO)
	Factory has written processes in place to screen prospective employees and to periodically check current employees. Application information, such as		(TES OR NO)
11.1	employment history and references, must be verified prior to employment.	MUST	
11.2	Factory performs background checks on all prospective employees in a sensitive position, as well as annually on current employees in sensitive positions.		
	Results of background checks, as permitted by local statutes, should be considered in making hiring decisions.	SHOULD	
11.3	Factory has an Employee Code of Conduct that includes expectations and defines acceptable behaviors. Penalties and disciplinary procedures are		
	included in the Code of Conduct. Employees/contractors acknowledge in writing that they have read and understood the Code of Conduct, and this		
	acknowledgement is kept in the employee's file for documentation.	MUST	
	lucation, Training, and Awareness		(YES OR NO)
12.1	Factory must establish and maintain a security training and awareness program to recognize and foster awareness of the security vulnerabilities to		
	facilities, conveyances, and cargo at each point in the supply chain, which could be exploited by terrorists or contraband smugglers. The training		
	program must be comprehensive and cover all of CTPAT's security requirements. Employees in sensitive positions must receive additional specialized		
	training geared toward the responsibilities that the position holds. Factory requires newly hired employees receive security training as part of their		
12.2	orientation/job skills training. Factory retains evidence of training such as training logs, sign in sheets, or electronic training records. Training records includes the date of the training,	MUST	
12.2	names of attendees, and the topics of the training.	MUST	
	names of accendees, and the copies of the training.	IVIUST	

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12.3	Drivers and other employees that conduct security and agricultural inspections of empty containers are properly trained to inspect their containers for		
	both security and agricultural purposes. Security refresher training are conducted periodically, as needed after an incident or security breach, or when		
	there are changes to company procedures.	MUST	
12.4	Factory's inspection training must include the following topics:		
	• Signs of hidden compartments		
	Concealed contraband in naturally occurring compartments		
	• Signs of pest contamination	MUST	
12.5	Factory should have measures in place to verify that the training provided met all training objectives.	SHOULD	
12.6	Employees are trained on the factory's cybersecurity policies and procedures, which include the need for employees to protect passwords/passphrases		
	and computer access.	MUST	
12.7	Employees operating and managing security technology systems must receive operations and maintenance training in their specific areas.	MUST	
12.8	Employees are trained on how to report security incidents and suspicious activities.	MUST	

#### **Supporting Documentation**

Please provide the following documentation to support your responses in each section above:

- Security Manual Copy of factory's security manual addressing how factory maintains each minimum security criterias above
- Risk Assessment (Canada/Mexico only) Copy of latest risk assessment
- Business Parters Example of standards and written agreements with carriers, tracking systems, and awareness of CTPAT criteria.
- Cybersecurity Copy of IT training, standards, and disciplinary policy
- Conveyance and Container Security Copy of container inspection procedure and 8-point container checklist
- Seal Security Copy of seal security procedures, copy of seal audit log, photo example of seals used
- Procedural Security Copy of written procedure for incident reporting
- Agricultural Procedures Copy of fumigation certificate
- Physical Security Digital images of key physical structures such as fencing, gates, building structure, electronic surveillance, alarms, etc.
- Access Controls Digital images of employee badges, visitor records/logs, visitor badge, appointments for drivers, etc.

I hereby certify that all information provided in connection with this questionnaire is complete, true and accurate in all respects.

- Personnel Security Copy of employment screening/application, copy of signed employee agreement acknowledging adherance to factory's code of conduct
- Education, Training and Awareness Copy of security awareness training program and training records

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Name (Print)	Signature
Fitle/Position	Date

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