

## V Opco, LLC Social Responsibility Monitoring Report

|                    |              |             |
|--------------------|--------------|-------------|
| Report #:<br>Date: | Factory Name | Audit Type: |
|--------------------|--------------|-------------|

|   |                             |
|---|-----------------------------|
| <b>Overall Rating Social Responsibility</b> | <b>Overall Rating CTPAT</b> |
|---|-----------------------------|

|                                 |  |
|---------------------------------|--|
| Agent Company (if applicable):  |  |
| Vendor Company (if applicable): |  |
| Name of Audited Facility:       |  |
| Physical Location Address:      |  |
| 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 <input type="checkbox"/> | If yes what % | No <input type="checkbox"/> |
| List other brands produced in this factory and percentage dedicated to each brand: |                              |               |                             |

### Processes the factory is capable of: (Select from Following List):

|                                     |                                     |  |  |
|-------------------------------------|-------------------------------------|--|--|
| <input type="checkbox"/> Assembly   | <input type="checkbox"/> Finishing  | <input type="checkbox"/> Molding             | <input type="checkbox"/> Sewing          |
| <input type="checkbox"/> Cutting    | <input type="checkbox"/> Injection  | <input type="checkbox"/> Packing             | <input type="checkbox"/> Trimming        |
| <input type="checkbox"/> Dying      | <input type="checkbox"/> Inspection | <input type="checkbox"/> Painting / Spraying | <input type="checkbox"/> Washing         |
| <input type="checkbox"/> Embroidery | <input type="checkbox"/> Laundry    | <input type="checkbox"/> Pressing            | <input type="checkbox"/> Other (specify) |

|                                  |          |            |         |         |
|----------------------------------|----------|------------|---------|---------|
| <b>Total Number of Machines:</b> | Cutters: | Spreaders: | Single: | Double: |
|----------------------------------|----------|------------|---------|---------|

|   |               |           |             |             |
|---|---------------|-----------|-------------|-------------|
| 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

|   |   |                                     |  |                                       |
|---|---|-------------------------------------|--|---------------------------------------|
| <b>1.</b>   | <b>Legal Requirements<br/>Customs /<br/>Transshipment</b> | <input type="checkbox"/> Acceptable | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
| <p>Exceptions:<br/>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |   |                                     |  |                                       |

|   |                    |                                     |  |                                       |
|---|--------------------|-------------------------------------|--|---------------------------------------|
| <b>2.</b>   | <b>Child Labor</b> | <input type="checkbox"/> Acceptable | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
| <p>The legal working age is this country:</p>   |                    |                                     |  |                                       |
| <p>Legal working age for authorized minors in this country:</p>   |                    |                                     |  |                                       |
| <p>Until what age, if any, are children legally required to attend school in this country:</p>  |                    |                                     |  |                                       |
| <p>What is the youngest age of anyone working in this facility:</p>   |                    |                                     |  |                                       |
| <p>Exceptions:<br/>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |                    |                                     |  |                                       |

|  |                     |                                     |  |                                       |
|--|---------------------|-------------------------------------|--|---------------------------------------|
| <b>3.</b>  | <b>Forced Labor</b> | <input type="checkbox"/> Acceptable | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
| <p>Exceptions:<br/>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p>                            |                     |                                     |  |                                       |
| <p>V Opco, LLC prohibits force, prison, indentured or bonded labor. (Does the country allow movement to another factory or must one return to their native country?)</p> |                     |                                     |  |                                       |

|  |                           |                                     |                            |  |               |                                       |  |
|--|---------------------------|-------------------------------------|----------------------------|--|---------------|---------------------------------------|--|
| 4.   | <b>Wages and Benefits</b> | <input type="checkbox"/> Acceptable |                            | <input type="checkbox"/> Needs Improvement |               | <input type="checkbox"/> Unacceptable |  |
|  |                           |                                     |                            |  |               |                                       |  |
|  |                           |                                     | Local Currency<br>Specify: | US Dollar                                  | Exchange rate |                                       |  |
| Minimum legal wage applicable to the industry  | Hourly                    |                                     |                            |  | USD 1 =       |                                       |  |
|  | Weekly                    |                                     |                            |  | USD 1 =       |                                       |  |
|  | Monthly                   |                                     |                            |  | USD 1 =       |                                       |  |
| 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 =       |                                       |  |
| Average wage paid in this factory  | Hourly                    |                                     |                            |  | USD 1 =       |                                       |  |
|  | Weekly                    |                                     |                            |  | USD 1 =       |                                       |  |
|  | Monthly                   |                                     |                            |  | USD 1 =       |                                       |  |
| <p>Exceptions:</p> <p>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |                           |                                     |                            |  |               |                                       |  |

|  |                                       |  |                                       |
|--|---------------------------------------|--|---------------------------------------|
| 5. <b>Working Hours</b>  | <input type="checkbox"/> Acceptable   | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
|  |                                       | (Actual) Factory                           | 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 week       |  |                                       |
|  | Average overtime hours per day        |  |                                       |
|  | Average overtime hours per week       |  |                                       |
|  | Maximum number of continuous workdays |  |                                       |
|  | Average Total Hours Per Week Peak     |  |                                       |
| Average Total Hours Per Week Non Peak  |                                       |  |                                       |
| <p>Exceptions:</p> <p>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |                                       |  |                                       |

|  |  |
|--|--|
| <b>Payroll/Time Record Cross Check</b>   |  |
| 1. Production or other factory records that were crossed checked against attendance and payroll records:   |  |
| 2. Production or other records were consistent with attendance and payroll records:<br><input type="checkbox"/> Yes <input type="checkbox"/> No  |  |
| 3. Which records were not consistent with attendance and payroll records?  |  |
| 4. What inconsistencies were found?  |  |
| 5. Did interviewed employees confirm they are compensated for all hours worked?<br><input type="checkbox"/> Yes <input type="checkbox"/> No  |  |
| 6. Did interviewed employees confirm work hours and compensation as reported on factory attendance and payroll records?<br><input type="checkbox"/> Yes <input type="checkbox"/> No                                      |  |
| 7. If inconsistencies found and questioned, did factory present an explanation for such inconsistencies?<br><input type="checkbox"/> Yes <input type="checkbox"/> No   |  |
| 8. Was any evidence found that factory records overstate the wages paid to employees or that employees are working hours for which they are not compensated?<br><input type="checkbox"/> Yes <input type="checkbox"/> No |  |
| 9. If answer to 8 is yes, describe finding.  |  |

|  |  |                                     |  |                                       |
|--|--|-------------------------------------|--|---------------------------------------|
| <b>6.</b>  | <b>Discrimination and Women's Rights</b> | <input type="checkbox"/> Acceptable | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
| <p>Exceptions:</p> <p>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |  |                                     |  |                                       |

|  |                               |                                     |  |                                       |
|--|-------------------------------|-------------------------------------|--|---------------------------------------|
| <b>7.</b>  | <b>Disciplinary Practices</b> | <input type="checkbox"/> Acceptable | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
| <p>Exceptions:</p> <p>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |                               |                                     |  |                                       |

|  |                         |                                     |  |                                       |
|--|-------------------------|-------------------------------------|--|---------------------------------------|
| <b>8.</b>  | <b>Free Association</b> | <input type="checkbox"/> Acceptable | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
| <p>Exceptions:</p> <p>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |                         |                                     |  |                                       |

|  |                          |                                     |  |                                       |
|--|--------------------------|-------------------------------------|--|---------------------------------------|
| <b>9A.</b>   | <b>Health and Safety</b> | <input type="checkbox"/> Acceptable | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
| <p>Exceptions:</p> <p>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |                          |                                     |  |                                       |

|  |  |  |  |                                       |
|--|--|--|--|---------------------------------------|
| <b>9B.</b>   | <b>Health and Safety – Dormitories (if applicable)</b> | <input type="checkbox"/> Acceptable / Not Applicable | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
| <p>Exceptions:</p> <p>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |  |  |  |                                       |



|   |                                  |                                     |  |                                       |
|---|----------------------------------|-------------------------------------|--|---------------------------------------|
| 10.   | <b>Environmental Safekeeping</b> | <input type="checkbox"/> Acceptable | <input type="checkbox"/> Needs Improvement | <input type="checkbox"/> Unacceptable |
| <p>Exceptions:<br/>Please state legal or V Opco, LLC requirement, non-compliant finding, evidence of non-compliance and factory response.</p> |                                  |                                     |  |                                       |

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

Company: \_\_\_\_\_

Address: \_\_\_\_\_

|   |  | Minimum Security<br>Criteria Requirement<br>(Must/Should) | (YES OR NO) |  |
|---|--|---|-------------|--|
| <b>General Security</b>   |  |   |             |  |
| ▶   | Factory has a written security plan. <i>*If yes, please provide a copy of the Factory Security Manual and/or written procedures.</i>   | MUST  |             |  |
| ▶   | Factory has a designated security officer. <i>*If yes, please provide name and contact information:</i>  | MUST  |             |  |
| ▶   | Factory maintains copies of the third party audits/inspections of plant factory.   | SHOULD  |             |  |
| <b>1. Security, Vision, and Responsibility (only applicable to C-TPAT members in Canada and Mexico)</b> |  |   |             |  |
| (YES OR NO)   |  |   |             |  |
| 1.1   | 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. These policies and procedures are updated as needed based on pertinent changes in an organization's operations and level of risk.   | MUST  |             |  |
| 1.4   | Factory's Point(s) of Contact (POC) to security must be knowledgeable about security program requirements.   | MUST  |             |  |
| <b>2. Risk Assessment (only applicable to C-TPAT members in Canada and Mexico)</b>                      |  |   |             |  |
| (YES 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 factors dictate.   | MUST  |             |  |
| 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 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  |             |  |
| <b>3. Business Partners</b>   |  |   |             |  |
| (YES 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 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. <i>***Only applicable for inbound shipments from Canada and Mexico</i> | 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  |             |  |
| <b>4. Cybersecurity including Information Technology</b>  |  |   |             |  |
| (YES 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.   | MUST  |             |  |
| 4.2   | To defend Information Technology (IT) systems against common cybersecurity threats, factory must install sufficient software/hardware protection from malware (viruses, spyware, worms, Trojans, etc.) and internal/external intrusion (firewalls) in their computer systems. Factory must ensure their security 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 results 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 feasible.   | MUST  |             |  |
| 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 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 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 to 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  |             |  |
| 4.10  | Factory uses strong passwords, passphrases, or other forms of authentication, to protect IT systems from infiltration. User access to IT systems must be safeguarded at all times.   | MUST  |             |  |
| 4.11  | Factory requires passwords and/or passphrases be changed as soon as possible if there is evidence of compromise or reasonable suspicion of a   | MUST  |             |  |
| 4.12  | Factory must employ secure technologies, such as virtual private networks (VPNs) to allow employees who must connect remotely to access the company's intranet securely when located outside of the office. Factory must also have procedures designed to prevent remote access from   | MUST  |             |  |
| 4.13  | If factory allows their employees to use personal devices to conduct company work, all such devices must adhere to the company's cybersecurity policies and procedures to include regular security updates and a method to securely access the company's network.  | MUST  |             |  |
| 4.14  | Cybersecurity policies and procedures include measures to prevent the use of counterfeit or improperly licensed technological products.  | SHOULD  |             |  |
| 4.15  | 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  |             |  |
| 4.16  | 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 Technology (NIST) Guidelines for Media Sanitization or other appropriate industry guidelines.                                   | MUST  |             |  |
| <b>5. Conveyance and Instruments of International Traffic Security (Container Security)</b>             |  |   |             |  |
| (YES OR NO)   |  |   |             |  |
| 5.1   | Factory has written procedures in place detailing the storage of containers and trucks -- both empty and full -- in a secured area to prevent unauthorized   | MUST  |             |  |
| 5.2   | Factory has written procedures for both security and agricultural inspections of containers, trucks, or other conveyances and Instruments of International Traffic (IIT).  | MUST  |             |  |









|      |   |               |  |  |
|------|---|---------------|--|--|
| 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. | <b>MUST</b>   |  |  |
| 12.4 | Factory's inspection training must include the following topics:<br><ul style="list-style-type: none"> <li>• Signs of hidden compartments</li> <li>• Concealed contraband in naturally occurring compartments</li> <li>• Signs of pest contamination</li> </ul>   | <b>MUST</b>   |  |  |
| 12.5 | Factory should have measures in place to verify that the training provided met all training objectives.   | <b>SHOULD</b> |  |  |
| 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.  | <b>MUST</b>   |  |  |
| 12.7 | Employees operating and managing security technology systems must receive operations and maintenance training in their specific areas.  | <b>MUST</b>   |  |  |
| 12.8 | Employees are trained on how to report security incidents and suspicious activities.  | <b>MUST</b>   |  |  |

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

**CERTIFICATION**

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

Name (Print) \_\_\_\_\_ Signature \_\_\_\_\_

Title/Position \_\_\_\_\_ Date \_\_\_\_\_