



CTPAT Audit Workbook Instructions

Audit Information			
3rd Party:	ITS	Audit Date:	11.15.2016
Audit Type:	Annual / Renewal	Report Number:	IDA-15282-01
Auditor(s) Name:	Parul Jaglan	Auditor(s) Email:	parul.jaglan@intertek.com
Lead Auditor Phone:	91 11 41595532	3P Office Phone:	91 11 41595532
Facility Information		FID Number:	70038
Vendor Name:	Raj Overseas		
Factory Name:	Raj Overseas		
Factory Address:	Plot No 149-154 Sector - 25 Huda , Panipat, Haryana, India, 132103		
Factory Audit Contact Name/Title:	Mr. Dinesh vashisht		
Factory Audit Contact Phone:	91 180 2693809-13 , 8684800297		
Factory Audit Contact Fax:	Not Avilable		
Factory Audit Contact Email:	compliance@rajgroup.in		
Facility Management Information			
	Name	Phone	Email
General Manager:	Puneet Chandana	91 9215189218	puneet@rajgroup.in
Production Manager:	Viney Gupta	91 9215189227	carpet@rajgroup.in
Quality Manager:	Raman Dutta	91 8572889387	raman@rajgroup.in
HR Manager:	Dinesh Vashisht	91 9215189271	compliance@rajgroup.in
Additional Contacts:			



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Facility Information						
** Ownership:	<input type="checkbox"/> Privately Held	<input type="checkbox"/> State Owned	<input type="checkbox"/> Other:	<input type="checkbox"/> Partnership		
Years in business:	Since 1995					
Facility Operation Type(s):	Carpets,Rugs,Bathmats,Poufs,Baskets& Pillows					
Number of Separate Buildings:	1	Number of Levels/Floors:	4			
Total Facility Size (M²):	13657	Which Level(s)/Floor(s)?:	Ground Floor, First F			
Manufacturing Areas (M²):	16829	Number of Levels/Floors:	4			
Additional Facility Notes:	Nil					
List Onsite Subcontractors (if applicable): ‡ - Note 1			Subcontractor Function: ‡ - Note 1			
Nil			Not applicable			
Production Information						
Production Capacity (qty):	75000 sq mt	per Week	300000 sq mt	per Month	0000-4000000 s	per Year
Peak Season (months):	Regular work throughout the year		Peak Season % Annual Business:	Not applicable		
Type of Products Produced:	Carpets,Rugs,Bathmats,Poufs,Baskets& Pillows					
Equipment Used:	Stiching M/c,Ironing M/c,Tufted Guns,Pitlooms.					
Hours of Operation:	8					
Number of Shifts:	01 Shift - General shift - 09:00am to 06:00pm). Lunch Break :- one hour lunch break(01:00 pm to 02 :00 pm)					
Audit Details						
Number of group interviews:	Not applicable					
Number of individual interviews:	Not applicable					
Group/Individual Audited Details						
Name:			Position/Department:			



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Nil	Not applicable



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Section #	Section Name															
MND01	Mandatory Requirements															
Question #	Questions	Score														
MND1.01	Are the premises protected from unauthorized access (perimeter fencing, access controls or natural barriers)?	2														
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Recommendations:	Nil															
MND1.02	Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion?	2														
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Recommendations:	Nil															
MND1.03	Are all doors/windows/openings locked to prevent unauthorized access to the facility after business hours?	2														
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Comments:	Facility doors and windows are locked to prevent intrusion after business hours and the locks found in good condition and effective. Facility security force works 24 x7x365.															
Recommendations:	Nil															
MND1.04	Is conveyance integrity maintained to prevent the introduction of unauthorized personnel or material into a container/trailer/railcar? Are containers sealed and or locked during unloading pauses and after loading and prior to departure so tampering would be evident?	2														
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;"></td> <td>Auditor Note: Auditor must check for: If there is a pause in loading between the arrival and the sealing of the container, do both written and actual procedures include guarding or locking the container? This refers to break or change of shift during loading of containers.</td> </tr> <tr> <td>Question Policy:</td> <td></td> </tr> <tr> <td>Unacceptable - 0</td> <td>1) Conveyance inspections prior to shipping activities are not conducted. 2) Conveyances that are deemed not to provide adequate security are not rejected or vendors reprimanded for providing substandard equipment. 3) Conveyance not sealed during loading pauses & after loading is completed.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Policy requires inspection but records do not exist regarding conveyance integrity or security. 2) Inspections are random and not inclusive of external details where un-manifested freight could be hidden or introduced. 3) Conveyance not sealed during loading pauses but loading area is restricted.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Conveyance integrity maintained during loading procedure and lock placed during loading pauses. 2) Loading supervised to avoid introduction of illegal materials and to prevent overages/shortages. 3) Vendor's selection is done based on minimum security standard for conveyance.</td> </tr> <tr> <td>Comments:</td> <td>Facility had maintained the conveyance integrity during the loading process and lock placed during loading pauses. Loading and loading pauses were monitored by security guards and CCTV camera also. Further the vendor selection is done based on security standard for conveyance. Further it was noted from the review of records, interaction with the facility management and security officer that containers are allowed to the loading area only after seven point check and loaded in a single stroke in front the security guard and sealed by Bolt seal which meets ISO/PAS 17712 standard.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>		Auditor Note: Auditor must check for: If there is a pause in loading between the arrival and the sealing of the container, do both written and actual procedures include guarding or locking the container? This refers to break or change of shift during loading of containers.	Question Policy:		Unacceptable - 0	1) Conveyance inspections prior to shipping activities are not conducted. 2) Conveyances that are deemed not to provide adequate security are not rejected or vendors reprimanded for providing substandard equipment. 3) Conveyance not sealed during loading pauses & after loading is completed.	Marginal - 1	1) Policy requires inspection but records do not exist regarding conveyance integrity or security. 2) Inspections are random and not inclusive of external details where un-manifested freight could be hidden or introduced. 3) Conveyance not sealed during loading pauses but loading area is restricted.	Acceptable - 2	1) Conveyance integrity maintained during loading procedure and lock placed during loading pauses. 2) Loading supervised to avoid introduction of illegal materials and to prevent overages/shortages. 3) Vendor's selection is done based on minimum security standard for conveyance.	Comments:	Facility had maintained the conveyance integrity during the loading process and lock placed during loading pauses. Loading and loading pauses were monitored by security guards and CCTV camera also. Further the vendor selection is done based on security standard for conveyance. Further it was noted from the review of records, interaction with the facility management and security officer that containers are allowed to the loading area only after seven point check and loaded in a single stroke in front the security guard and sealed by Bolt seal which meets ISO/PAS 17712 standard.	Recommendations:	Nil	
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Recommendations:	Nil															



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Question #	Questions	Score												
MND1.05	Are procedures in place to ensure unauthorized and unidentified persons are restricted and prevented access to the truck pad, trailer and container storage areas?	2												
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Recommendations:	Nil													
MND1.06	Is all access to the facility controlled by gate and/or security officer to ensure no unauthorized access and all vehicles and containers logged in and out accordingly?	2												
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Recommendations:	Nil													
MND01 Comments:	<p>The facility is secured with 15 feet masonry wall with 2 feet barbed metal wire on all the four sides with sufficient lightings which is manned and monitored through security guards and CCTV's during operating and non-operating hours. Facility doors and windows are locked to prevent intrusion after business hours and the locks found in good condition and effective. Facility security force works 24 x7x365. According to facilities procedure and interaction with security officer that the facility does not have and there is no loading pause between container arrival and sealing of the container once loading is complete. Further, it was noted from the review of records, interaction with the facility management and security officer that containers are allowed to the loading area only after seven point check and loaded in a single stroke in front the security guards and sealed by Bolt seal which meets ISO/PAS 17712 standard provided by the facility and liner. All the vehicles and conveyances including containers are screened and logged in/out by the security guards at the time of entry and exit.</p>													



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Question #	Questions	Score												
Section #	Section Name													
SMS1	SECURITY MANAGEMENT SYSTEM													
SMS1.01	Is there a manager or supervisor responsible for implementing security within the company? Please provide contact information.	2												
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Comments:	Mr. Amit Sharma – Chief Security Officer is personal responsible for overall site security. His job responsibilities has been clearly defined and documented.													
Recommendations:	Nil													
SMS1.02	Is there a designated security representative at each company location to supervise security practices and review the introduction and removal of cargo in the receiving and shipping process?	2												
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Recommendations:	Nil													
SMS1.03	Is there a supervisor responsible for overseeing the shipping process?	2												
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Recommendations:	Nil													
SMS1.04	Is there a supervisor responsible for overseeing the receiving process?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) No Supervisor.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Supervisor assigned, responsibilities not documented.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Supervisor assigned, responsibilities documented.</td> </tr> <tr> <td>Comments:</td> <td>The facility has assigned Mr. Rakesh Kumar - Supervisor and Security gurads (as per shift) is responsible for overseeing the incoming material process. Job responsibilities has been clearly defined and documented.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) No Supervisor.	Marginal - 1	1) Supervisor assigned, responsibilities not documented.	Acceptable - 2	1) Supervisor assigned, responsibilities documented.	Comments:	The facility has assigned Mr. Rakesh Kumar - Supervisor and Security gurads (as per shift) is responsible for overseeing the incoming material process. Job responsibilities has been clearly defined and documented.	Recommendations:	Nil	
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Recommendations:	Nil													
SMS1.05	Do written security policies and procedures exist to include physical security, access controls, personnel security, education and awareness, manifest and conveyance security, the handling of incoming and outgoing goods to identify overages and shortages or the introduction of un-manifested or illegal goods?	2												
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Recommendations:	Nil													



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Question #	Questions	Score														
SMS1.06	Is there a documented process for reporting and investigating security related incidents and to report them on a timely basis to law enforcement officials and security personnel?	2														
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Recommendations:	Nil															
SMS1.07	Are periodic internal/reviews conducted of all security operations at least annually?	2														
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Recommendations:	Nil															
SMS1.08	Is there a documented security improvement plan (to review with their personnel)? If yes, review the plan	2														
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Recommendations:	Nil															
SMS1.09	Do contracts with sub-contract transportation and other service providers include minimum security requirements that include all CTPAT requirements? Does the facility have written processes for the selection of business partners including product suppliers and local transportation companies?	2														
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Question #	Questions	Score												
Section #	Section Name													
PSA1	PHYSICAL SECURITY & ACCESS CONTROLS													
PSA1.01	Are the premises protected from unauthorized access (perimeter fencing, access controls or natural barriers)?	2												
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Recommendations:	Nil													
PSA1.02	Is all access to the facility controlled by gate and/or security officer to ensure no unauthorized access and all vehicles and containers logged in and out accordingly?	2												
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Recommendations:	Nil													
PSA1.03	Is the facility equipped with adequate security warning signage?	2												
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Recommendations:	Nil													
PSA1.04	Are controls in place to document and positively identify drivers through photo identification or other means?	2												
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Recommendations:	Nil													



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Question #	Questions	Score												
PSA1.05	Is driver access to the interior of the facility limited to a secure, segregated waiting area?	2												
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Recommendations:	Nil													
PSA1.06	Are controls in place to prevent unauthorized individuals from entering the facility or conveyances?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Question Policy</td> <td></td> </tr> <tr> <td>Unacceptable - 0</td> <td>1) No controls for access to the premises, truck pad or trailer/container storage.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Employees/visitors are given access to those secure areas as needed for the performance of their duties but activity is not monitored. 2) Access to truck pads/docks/ trailer/container storage generally controlled.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Access to dock/dock conveyance area is restricted. 2) Truck pad covered by CCTV or monitored on a regular basis. (CCTV <u>not</u> mandatory but highly recommended) 3) Records exist of all personnel entering the facility or conveyances. 4) Policy requires supervisor notification when unauthorized entry occurs, notice is timely.</td> </tr> <tr> <td>Comments:</td> <td>All visitors and employees access in the facility is controlled/monitored and recorded. Visitors are not given access to the restricted area. Further, authorized employees can access to restrict area(such as final packing, loading and unloading areas) to perform their duties which was monitored by the department supervisor, security gaurd and CCTV in restricted area. Facility has procedure which requires employees to report supervisor when unauthorized entry occurs.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) No controls for access to the premises, truck pad or trailer/container storage.	Marginal - 1	1) Employees/visitors are given access to those secure areas as needed for the performance of their duties but activity is not monitored. 2) Access to truck pads/docks/ trailer/container storage generally controlled.	Acceptable - 2	1) Access to dock/dock conveyance area is restricted. 2) Truck pad covered by CCTV or monitored on a regular basis. (CCTV <u>not</u> mandatory but highly recommended) 3) Records exist of all personnel entering the facility or conveyances. 4) Policy requires supervisor notification when unauthorized entry occurs, notice is timely.	Comments:	All visitors and employees access in the facility is controlled/monitored and recorded. Visitors are not given access to the restricted area. Further, authorized employees can access to restrict area(such as final packing, loading and unloading areas) to perform their duties which was monitored by the department supervisor, security gaurd and CCTV in restricted area. Facility has procedure which requires employees to report supervisor when unauthorized entry occurs.	Recommendations:	Nil	
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Recommendations:	Nil													
PSA1.07	Are employees and authorized visitors positively identified with photo identification or other means?	2												
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Unacceptable - 0	1) No visitor policy exists. 2) Badges not required.													
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Recommendations:	Nil													
PSA1.08	Are visitors/contractors logged in, issued a badge, and escorted?	2												
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Recommendations:	Nil													



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Question #	Questions	Score												
PSA1.09	Is adequate lighting provided inside and outside the facility to include parking areas?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Lighting does not illuminate loading or unloading areas, access or egress points. 2) Vehicles and personnel cannot be identified upon approach to the facility.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Lighting is not adequate in loading or unloading areas. 2) Some entry or egress points are illuminated, other points are not illuminated. 3) Parking areas not adequately illuminated, facilities are adequate.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Lighting provides daylight conditions. 2) Vehicular or pedestrian traffic is clearly visible; license plates can be read during nighttime hours. 3) Emergency lighting exists and is functional.</td> </tr> <tr> <td>Comments:</td> <td>The facility is equipped with adequate lighting on both inside (all exit / emergency exit, escape route) and outside (periphery area) of the facility including parking area which has a emergency lights & generator as a backup in case of power failure. Vehicular traffic is clearly visible and license plates are readable during night time hours.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Lighting does not illuminate loading or unloading areas, access or egress points. 2) Vehicles and personnel cannot be identified upon approach to the facility.	Marginal - 1	1) Lighting is not adequate in loading or unloading areas. 2) Some entry or egress points are illuminated, other points are not illuminated. 3) Parking areas not adequately illuminated, facilities are adequate.	Acceptable - 2	1) Lighting provides daylight conditions. 2) Vehicular or pedestrian traffic is clearly visible; license plates can be read during nighttime hours. 3) Emergency lighting exists and is functional.	Comments:	The facility is equipped with adequate lighting on both inside (all exit / emergency exit, escape route) and outside (periphery area) of the facility including parking area which has a emergency lights & generator as a backup in case of power failure. Vehicular traffic is clearly visible and license plates are readable during night time hours.	Recommendations:	Nil	
Question Policy														
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Recommendations:	Nil													
PSA1.10	Are all doors/windows/openings locked to prevent unauthorized access to the facility after business hours?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Facilities are not locked after-hours, or periodically inspected for locks and access denial. 2) Not all doors/windows/ openings have locks in place.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Doors, windows, etc have locks but need repair or upgrade. 2) Facility is monitored (by a system or security guards) but coverage is not 24/7.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Doors, windows, etc are locked or secure to prevent intrusion. 2) Locks are all in good repair order and effective. 3) Facility is monitored (System or Guards) at all times (24/7).</td> </tr> <tr> <td>Comments:</td> <td>Facility doors and windows are locked to prevent intrusion after business hours and the locks found in good condition and effective. Facility is monitored security force 24 x7x365.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Facilities are not locked after-hours, or periodically inspected for locks and access denial. 2) Not all doors/windows/ openings have locks in place.	Marginal - 1	1) Doors, windows, etc have locks but need repair or upgrade. 2) Facility is monitored (by a system or security guards) but coverage is not 24/7.	Acceptable - 2	1) Doors, windows, etc are locked or secure to prevent intrusion. 2) Locks are all in good repair order and effective. 3) Facility is monitored (System or Guards) at all times (24/7).	Comments:	Facility doors and windows are locked to prevent intrusion after business hours and the locks found in good condition and effective. Facility is monitored security force 24 x7x365.	Recommendations:	Nil	
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Comments:	Facility doors and windows are locked to prevent intrusion after business hours and the locks found in good condition and effective. Facility is monitored security force 24 x7x365.													
Recommendations:	Nil													
PSA1.11	Do you utilize internal or external security officers on site, and if yes, are the post procedures documented, comprehensive, and current?	2												
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Comments:	Security guards posted provides complete coverage and have good communication. Further the facility has clearly defined job responsibilities for security guards and relevant training was provided.													
Recommendations:	Nil													
PSA1.12	Are personal belongings inspected upon ingress or egress to the facility to prevent the introduction or removal of unauthorized material? Note: Ingress = Coming In; Egress = Going Out	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Bags, lunch boxes, coolers or purses are allowed into the facility and warehouse without any inspection of personal belongings.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Containers are allowed into warehouse or other secure locations but random inspections of containers are conducted.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Containers may not be allowed into warehouse or other secure areas in facility. 2) Full inspections are conducted on arrival and departure. 3) Written procedures are in place. 4) Quality of inspections monitored.</td> </tr> <tr> <td>Comments:</td> <td>Facility has written procedure in place to conduct full inspection of all the employees and visitors at the time of entry and exit. Quality of the inspection was monitored regularly. Further the facility does not allow any personnel belongings inside the production, warehouse or other secured areas such as any container, lunch boxes, etc.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Bags, lunch boxes, coolers or purses are allowed into the facility and warehouse without any inspection of personal belongings.	Marginal - 1	1) Containers are allowed into warehouse or other secure locations but random inspections of containers are conducted.	Acceptable - 2	1) Containers may not be allowed into warehouse or other secure areas in facility. 2) Full inspections are conducted on arrival and departure. 3) Written procedures are in place. 4) Quality of inspections monitored.	Comments:	Facility has written procedure in place to conduct full inspection of all the employees and visitors at the time of entry and exit. Quality of the inspection was monitored regularly. Further the facility does not allow any personnel belongings inside the production, warehouse or other secured areas such as any container, lunch boxes, etc.	Recommendations:	Nil	
Question Policy														
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Recommendations:	Nil													



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Question #	Questions	Score												
PSA1.13	Are controls in place to prevent unauthorized access to computer systems?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Question Policy</td> <td></td> </tr> <tr> <td>Unacceptable - 0</td> <td>1) Password access controls DO NOT exist, no other procedures evident.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Password or access removal not timely. 2) Password changes are not regulated or controlled. 3) Terminated personnel are not removed from system access on a timely manner.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Written procedures exist. 2) Controls for managing access level and "need to know" are in place. 3) Firewalls are utilized. 4) Forced password change every 6 months or less. 5) Terminated employee access removed. 6) Access records verified to personnel records periodically.</td> </tr> <tr> <td>Comments:</td> <td>Facility had a documented procedure of Information Control. Firewalls (UTM) are utilized. According to the facilities IT policy, procedures and implementation all the users are assigned with individual user id and passwords in which passwords are changed once in a 30 days, further it was noted from the review of records that terminated and left employees access are removed and recorded accordingly.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Password access controls DO NOT exist, no other procedures evident.	Marginal - 1	1) Password or access removal not timely. 2) Password changes are not regulated or controlled. 3) Terminated personnel are not removed from system access on a timely manner.	Acceptable - 2	1) Written procedures exist. 2) Controls for managing access level and "need to know" are in place. 3) Firewalls are utilized. 4) Forced password change every 6 months or less. 5) Terminated employee access removed. 6) Access records verified to personnel records periodically.	Comments:	Facility had a documented procedure of Information Control. Firewalls (UTM) are utilized. According to the facilities IT policy, procedures and implementation all the users are assigned with individual user id and passwords in which passwords are changed once in a 30 days, further it was noted from the review of records that terminated and left employees access are removed and recorded accordingly.	Recommendations:	Nil	
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Recommendations:	Nil													
PSA1.14	Is after-hours security and lighting adequate?	2												
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Comments:	Guards are placed both in operating hours and non-operating hours with defined duties. Adequate lighting is provided to have a clear view.													
Recommendations:	Nil													
PSA1.15	Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion?	2												
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Recommendations:	Nil													
PSA1	<p>Comments: All access gates were adequately lit, manned or monitored and controlled through CCTV cameras. Further, the facility is secured with 15 feet masonry wall with 2 feet barbed metal wire on all the four sides with sufficient lightings which is manned and monitored through security guards and CCTV's during operating and non-operating hours (24X7). Further, in general shift CCTV is additionally monitored by designated management person. The facility is equipped with adequate lighting on both inside (all exit / emergency exit, escape route) and outside (periphery area) of the facility including parking area which has a emergency lights & generator as a backup in case of power failure. Vehicular traffic is clearly visible and license plates are readable during night time hours. All the vehicles including trash collection vehicles and visitor's vehicles are screened and logged in/out by the security guards at the time of entry and exit. Facility had a documented procedure of Information Control. Firewalls (UTM) are utilized. According to the facilities IT policy, procedures and implementation all the users are assigned with individual user id and passwords in which passwords are changed once in a 30 days, further it was noted from the review of records that terminated and left employees access are terminated and recorded accordingly. All the drivers driving license with photo identity is recorded and vehicle numbers are checked according to the shipment booking conformation form provided by the carrier prior to access and egress. The facility has a policy in place to verify photo identification of employees and all the visitors before providing access to the facility. Visitor pass is provided to all the visitors to access the facility. Facility has policy in place to report to local law if any unauthorized persons were noted inside the facility campus.</p>													



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Question #	Questions	Score
Section #	Section Name	
HR1	HUMAN RESOURCES (PERSONNEL SECURITY & EDUCATION AND AWARENESS)	
HR1.01	Are pre-employment back-ground checks conducted that include criminal checks and application verification to the fullest extent allowed by law? (May be country specific)	2
	<p>Question Policy Note: If background checks and vetting (criminal checks) are allowed by local law, ask to see 2-3 files to verify this is being done. Do not make or retain any copies of anything in the file.</p> <p>Unacceptable - 0 1) Prior employment verification not conducted 2) Criminal history not reviewed 3) No written procedures regarding hiring practices.</p> <p>Marginal - 1 1) Written hiring procedures exist but no evidence that they are uniformly administered or documented.</p> <p>Acceptable - 2 1) Written hiring procedures exists, are uniformly administered and appropriately documented.</p> <p>Comments: The facility has hiring procedure in place to check background verification to all the employees before hiring. Current address, Reference verification and past work history verification is conducted for the entire employee through company itself. Initial and periodical criminal back-ground verification is conducted for employees working in sensitive area like security, packing and loading.</p> <p>Recommendations: Nil</p>	
HR1.02	Are the same back-ground checks required of temporary and contract personnel?	2
	<p>Question Policy <u>Auditor Note:</u> If background checks and vetting (criminal checks) are allowed by local law, ask to see 2-3 files to verify this is being done. Do not make or retain any copies of anything in the file.</p> <p>Unacceptable - 0 1) Background checks are not required on temporary or contract personnel.</p> <p>Marginal - 1 1) Policy exists for background checks but is not equally or fully enforced.</p> <p>Acceptable - 2 1) Background checks are conducted on every employee to determine employment eligibility. 2) Background checks on Contract employees are conducted by Contract Company. 3) All policy requirements for pre-employment screening are part of Human Resources procedures.</p> <p>Comments: The facility has hiring procedure in place to check background verification to all the employees before hiring. Current address, Reference verification and past work history verification is conducted for the entire employee through company itself. Initial and periodical criminal back-ground verification is conducted for employees working in sensitive area like security, packing and loading on every 12 months once. Facility had not employed any contract employees, however as per the documented procedure, same protocol regarding background checks are followed for contract employees. All employees are screening by HR department. All these policy requirements for pre-employment screening are part of HR procedures.</p> <p>Recommendations: Nil</p>	
HR1.03	Are employees (temporary and permanent) and contractors subject to drug testing as allowed by governing law?	0
	<p>Question Policy <u>Auditor Note:</u> If drug testing is not allowed by local law, mark as "2". If local law allows it you need to know this before audit. "Contractors" applies to contracted companies' employees that have an extended presence within the mfg/shipping facility – not those that come on site once every quarter to do preventive maintenance etc.</p> <p>Unacceptable - 0 1) No drug testing program exists.</p> <p>Marginal - 1 1) Employees randomly tested for drugs.</p> <p>Acceptable - 2 1) All employees and contractors are drug tested. 2) Contracts with temp agencies and contractors require drug testing.</p> <p>Comments: Drug screening test is not conducted for any of the employee till date.</p> <p>Recommendations: It is recommended the facility to conduct drug screening test to their employees.</p>	
HR1.04	Do all employees receive security training both during new employee orientation and on an ongoing basis that covers, unauthorized access, maintaining cargo integrity, and the recognition of internal conspiracies?	2
	<p>Question Policy <u>Auditor Note:</u> Ask to see and review a sampling of training records on subjects noted. Do not make or retain any copies of these records.</p> <p>Unacceptable - 0 1) Security and robbery training or orientation not part of current training program. 2) Cargo security measures are not given to all employees. 3) Training regarding internal conspiracies does not exist.</p> <p>Marginal - 1 1) Initial security training at orientation. 2) No on-going training program. 3) Training records are not adequate.</p> <p>Acceptable - 2 1) Initial and ongoing security training for all, includes internal conspiracies. 2) Posters, building signage exist. 3) Cargo and conveyance security training for key personnel. 4) Education records are well maintained regarding training, threats, robbery and internal conspiracy.</p> <p>Comments: Facility conducts initial new employees orientation and ongoing training to all the employees which covers current threats, robbery and internal conspiracy. Specific training was provided to sensitive area employees on cargo and conveyance security and record of the same was maintained.</p> <p>Recommendations: Nil</p>	



CTPAT Audit Workbook Instructions

Question #	Questions	Score												
HR1.05	Is there a documented Code of Conduct, "Factory Rules" or other forms of employee conduct guidelines that address security?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Question Policy</td> <td>Auditor Note: Code of Conduct does not mean social code of conduct, but rather outlines the rules and procedures of security.</td> </tr> <tr> <td>Unacceptable - 0</td> <td>1) Employee conduct guidelines do not exist.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Employees are given verbal security instructions and provided training that is not well documented or current. 2) Guidelines are focused on manufacture production, not security or loss prevention.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Formal and documented training exists that provides conduct and work related guidelines. 2) Training and conduct products are well recorded and updated to reflect current threats or local issues.</td> </tr> <tr> <td>Comments:</td> <td>The facility had conducted security awareness programme to all the employees based on their security criterias including code of conduct and work related guidelines and conducted threat awareness programme based on the latest threats. All training records are well maintained.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy	Auditor Note: Code of Conduct does not mean social code of conduct, but rather outlines the rules and procedures of security.	Unacceptable - 0	1) Employee conduct guidelines do not exist.	Marginal - 1	1) Employees are given verbal security instructions and provided training that is not well documented or current. 2) Guidelines are focused on manufacture production, not security or loss prevention.	Acceptable - 2	1) Formal and documented training exists that provides conduct and work related guidelines. 2) Training and conduct products are well recorded and updated to reflect current threats or local issues.	Comments:	The facility had conducted security awareness programme to all the employees based on their security criterias including code of conduct and work related guidelines and conducted threat awareness programme based on the latest threats. All training records are well maintained.	Recommendations:	Nil	
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Marginal - 1	1) Employees are given verbal security instructions and provided training that is not well documented or current. 2) Guidelines are focused on manufacture production, not security or loss prevention.													
Acceptable - 2	1) Formal and documented training exists that provides conduct and work related guidelines. 2) Training and conduct products are well recorded and updated to reflect current threats or local issues.													
Comments:	The facility had conducted security awareness programme to all the employees based on their security criterias including code of conduct and work related guidelines and conducted threat awareness programme based on the latest threats. All training records are well maintained.													
Recommendations:	Nil													
HR1.06	Are employees encouraged to and rewarded to report anomalies and wrongdoings?	2												
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Comments:	The facility has a policy in place to reward employees who report anomalies and wrong doings and the same was communicated to all the employees at the time of induction and ongoing security awareness programme.													
Recommendations:	Nil													
HR1.07	Do employee personnel receive training in document fraud and computer security?	2												
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Question Policy	Auditor Note: Ask to see training records but do not make or retain any copies of records.													
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Acceptable - 2	1) Document fraud and computer security. Training is provided for employee personnel and is adequately documented.													
Comments:	Document fraud and computer security training is provided for employees and is adequately documented. Last training was conducted on October 15, 2016.													
Recommendations:	Nil													
HR1.08	Is there a process for handling terminated employees or contractors and preventing subsequent access to the premises & computers?	2												
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Question Policy														
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HR1	<p>Comments:</p> <p>The facility has hiring procedure in place to check background verification to all the employees before hiring. Current address , Reference verification and past work history verification is conducted for the entire employee through company itself . Initial and periodical criminal back-ground verification is conducted for employees working in sensitive area like security, packing and loading on every 12 months once. Facility had not employed any contract employees, however as per the documented procedure, same protocol regarding background checks are followed for contract employees. All employees are screened by HR department. All these policy requirements for pre-employment screening are part of HR procedures. Drug addiction test is not conducted till date. Facility conducts initial new employees orientation and ongoing training to all the employees. Specific training was provided to sensitive area employees and the record of the same was maintained. Threat awareness training is provided to all the employees during induction training and refresher training. The facility has procedure and process in place to terminate the user id once the employee is left or terminated. Further, photo identity card of the terminated /left employees are taken back and detail is provided to security guards to ensure that access is not provided to terminated or left employees.</p>													



CTPAT Audit Workbook Instructions

Question #	Questions	Score												
Section #	Section Name													
PS1	PROCEDURAL SECURITY (RECEIVING AND SHIPPING PRACTICES, MANIFEST PROCEDURES AND CONVEYANCE SECURITY)													
PS1.01	Are there written security procedures covering receiving and shipping operations to prevent cargo loss or the introduction of unauthorized or un-manifested material?	2												
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Recommendations:	Nil													
PS1.02	Are the shipping and receiving areas separate restricted-access areas with access limited to only those employees positively identified who work in the area?	2												
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Recommendations:	Nil													
PS1.03	Are procedures in place to ensure unauthorized and unidentified persons are restricted and prevented access to the truck pad, trailer and container storage areas?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Containers/containers storage is not fenced in. 2) Restricted/access procedures do not exist and are not utilized. 3) Access to shipping, receiving and other areas not controlled beyond entry to the front gate or employee entrance.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Containers are not stored in a fenced-in area, but are regularly patrolled by security guard personnel.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Containers are stored in a fenced-in area. 2) Guard patrol. 3) Adequate lighting is maintained. 4) Area monitored by CCTV cameras. (CCTV not required but highly recommended)</td> </tr> <tr> <td>Comments:</td> <td>The facilities container loading area is guarded by security guard, monitored by CCTV camera and well illuminated.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Containers/containers storage is not fenced in. 2) Restricted/access procedures do not exist and are not utilized. 3) Access to shipping, receiving and other areas not controlled beyond entry to the front gate or employee entrance.	Marginal - 1	1) Containers are not stored in a fenced-in area, but are regularly patrolled by security guard personnel.	Acceptable - 2	1) Containers are stored in a fenced-in area. 2) Guard patrol. 3) Adequate lighting is maintained. 4) Area monitored by CCTV cameras. (CCTV not required but highly recommended)	Comments:	The facilities container loading area is guarded by security guard, monitored by CCTV camera and well illuminated.	Recommendations:	Nil	
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PS1.04	Is access of personal vehicles and cars restricted and prevented from parking in the truck pad, shipping, receiving, and cargo areas?	2												
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Question #	Questions	Score												
PS1.05	Is the loading/unloading of trucks and trailers supervised? If so, by whom?	2												
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Recommendations:	Nil													
PS1.06	Are incoming and outgoing vehicles, drivers, containers, trailers, and railcars verified and logged?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Log sheets are utilized to register outbound cargo activities only. Delivery vehicles and visitors are not logged in. 2) Driver's identification is not verified with central dispatch to confirm driver assignments.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Driver logs are utilized for only outbound cargo activity, delivery vehicles are not logged in. 2) Recurrent vendors are not logged into daily entry or egress logs.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) All incoming vehicles, drivers and conveyances (including driver ID) are verified and logged into and retained records.</td> </tr> <tr> <td>Comments:</td> <td>All the incoming and outgoing vehicle drivers driving license and conveyances are verified, logged and retained by the security guards.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Log sheets are utilized to register outbound cargo activities only. Delivery vehicles and visitors are not logged in. 2) Driver's identification is not verified with central dispatch to confirm driver assignments.	Marginal - 1	1) Driver logs are utilized for only outbound cargo activity, delivery vehicles are not logged in. 2) Recurrent vendors are not logged into daily entry or egress logs.	Acceptable - 2	1) All incoming vehicles, drivers and conveyances (including driver ID) are verified and logged into and retained records.	Comments:	All the incoming and outgoing vehicle drivers driving license and conveyances are verified, logged and retained by the security guards.	Recommendations:	Nil	
Question Policy														
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Marginal - 1	1) Driver logs are utilized for only outbound cargo activity, delivery vehicles are not logged in. 2) Recurrent vendors are not logged into daily entry or egress logs.													
Acceptable - 2	1) All incoming vehicles, drivers and conveyances (including driver ID) are verified and logged into and retained records.													
Comments:	All the incoming and outgoing vehicle drivers driving license and conveyances are verified, logged and retained by the security guards.													
Recommendations:	Nil													
PS1.07	Are the shipping and receiving docks and trailer/container storage yards monitored?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Shipping and receiving docks and trailer/container storage yards are NOT monitored.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Loading/unloading activities are monitored by personnel during working hours. 2) Storage yards are monitored by personnel during working hours. 3) Cameras do not provide 24/7 real time recording 24/7.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) 24/7 security personnel coverage of loading and unloading area. 2) 24/7 security personnel coverage of storage yards. 3) CCTV system covers shipping and receiving docks. (Not Required but highly recommended) 4) CCTV system connected to alarm system to detect unauthorized stoppage of recording or alarm if system becomes non-operational. (Not Required but highly recommended)</td> </tr> <tr> <td>Comments:</td> <td>All the shipping and receiving areas are monitored by security guard and through CCTV cameras and maintains records for a more than 60 days.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Shipping and receiving docks and trailer/container storage yards are NOT monitored.	Marginal - 1	1) Loading/unloading activities are monitored by personnel during working hours. 2) Storage yards are monitored by personnel during working hours. 3) Cameras do not provide 24/7 real time recording 24/7.	Acceptable - 2	1) 24/7 security personnel coverage of loading and unloading area. 2) 24/7 security personnel coverage of storage yards. 3) CCTV system covers shipping and receiving docks. (Not Required but highly recommended) 4) CCTV system connected to alarm system to detect unauthorized stoppage of recording or alarm if system becomes non-operational. (Not Required but highly recommended)	Comments:	All the shipping and receiving areas are monitored by security guard and through CCTV cameras and maintains records for a more than 60 days.	Recommendations:	Nil	
Question Policy														
Unacceptable - 0	1) Shipping and receiving docks and trailer/container storage yards are NOT monitored.													
Marginal - 1	1) Loading/unloading activities are monitored by personnel during working hours. 2) Storage yards are monitored by personnel during working hours. 3) Cameras do not provide 24/7 real time recording 24/7.													
Acceptable - 2	1) 24/7 security personnel coverage of loading and unloading area. 2) 24/7 security personnel coverage of storage yards. 3) CCTV system covers shipping and receiving docks. (Not Required but highly recommended) 4) CCTV system connected to alarm system to detect unauthorized stoppage of recording or alarm if system becomes non-operational. (Not Required but highly recommended)													
Comments:	All the shipping and receiving areas are monitored by security guard and through CCTV cameras and maintains records for a more than 60 days.													
Recommendations:	Nil													
PS1.08	Are adequate records kept of incoming and outgoing goods?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Piece counts not recorded or audited for inbound or outbound shipments. 2) Proof of shipping and receiving records not available or in place.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Documented procedures for Freight Reconciliation exist, and include reconciliation of packing or manifest document but results are not recorded in factory receiving system. 2) Shipping and receiving procedures exist but are not followed fully by employees of that department. 3) Not all receiving and shipping documents signed by driver or delivering vendor.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Shipping and receiving records complete, legible and accurate. 2) Piece counts and manifest reconciliation records support policy requirements. 3) Documented procedures for Freight Reconciliation exist, and include reconciliation of packing or manifest documents, with results documented and retained.</td> </tr> <tr> <td>Comments:</td> <td>Facility had maintained adequate shipping and receiving records. Inward material details with manifest details (Driver name / party name / vehicle number / Driver ID / material details / Quantity) are recorded in gate by security in inward register and container number / seal number/ vehicle number / driver license / diver name / were recorded in the shipment documents.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Piece counts not recorded or audited for inbound or outbound shipments. 2) Proof of shipping and receiving records not available or in place.	Marginal - 1	1) Documented procedures for Freight Reconciliation exist, and include reconciliation of packing or manifest document but results are not recorded in factory receiving system. 2) Shipping and receiving procedures exist but are not followed fully by employees of that department. 3) Not all receiving and shipping documents signed by driver or delivering vendor.	Acceptable - 2	1) Shipping and receiving records complete, legible and accurate. 2) Piece counts and manifest reconciliation records support policy requirements. 3) Documented procedures for Freight Reconciliation exist, and include reconciliation of packing or manifest documents, with results documented and retained.	Comments:	Facility had maintained adequate shipping and receiving records. Inward material details with manifest details (Driver name / party name / vehicle number / Driver ID / material details / Quantity) are recorded in gate by security in inward register and container number / seal number/ vehicle number / driver license / diver name / were recorded in the shipment documents.	Recommendations:	Nil	
Question Policy														
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Recommendations:	Nil													



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Question #	Questions	Score														
PS1.09	Is there a procedure for detecting and reporting shortages and overages in receiving?	2														
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) No written procedures exist for detecting or reporting overage, shortage or damaged goods at receiving or shipping locations.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Procedures exist but are not followed fully to document or investigate cause. 2) Reporting receiving issues to purchasing personnel is not subject to policy and reporting is sporadic.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Procedures for detecting and reporting overage, shortage, or damages are written, included in training, recorded and well maintained.</td> </tr> <tr> <td>Comments:</td> <td>Facility had a system to count the incoming and outgoing materials and the record of the same was well maintained.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) No written procedures exist for detecting or reporting overage, shortage or damaged goods at receiving or shipping locations.	Marginal - 1	1) Procedures exist but are not followed fully to document or investigate cause. 2) Reporting receiving issues to purchasing personnel is not subject to policy and reporting is sporadic.	Acceptable - 2	1) Procedures for detecting and reporting overage, shortage, or damages are written, included in training, recorded and well maintained.	Comments:	Facility had a system to count the incoming and outgoing materials and the record of the same was well maintained.	Recommendations:	Nil			
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Acceptable - 2	1) Procedures for detecting and reporting overage, shortage, or damages are written, included in training, recorded and well maintained.															
Comments:	Facility had a system to count the incoming and outgoing materials and the record of the same was well maintained.															
Recommendations:	Nil															
PS1.10	Are finished products properly marked, counted, weighed (if necessary), documented, and reported on the manifest and bills of lading?	2														
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Finished goods that are produced for shipping are not audited prior to shipping. Weights are not always recorded nor are piece counts per skid part of the shipping procedures. 2) No policy provides a solution for mistakes or errors recorded on shipping manifests or bills of lading.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Not all data elements are captured in the shipping procedure as required by policy. 2) Personnel are not assigned specific job responsibilities; therefore each employee records or defines record retention his way.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Finished goods are properly, in accordance with policy, marked, weighed, counted and documented on all manifests and bills of lading. 2) Personnel and policy directive are clear and followed, records are retained and complete.</td> </tr> <tr> <td>Comments:</td> <td>All the finished goods are properly marked, counted, weighed, documented and reported on the manifest and bills of lading. Facility has policy and personnel are clearly followed all procedures and well maintained all records which is found complete.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Finished goods that are produced for shipping are not audited prior to shipping. Weights are not always recorded nor are piece counts per skid part of the shipping procedures. 2) No policy provides a solution for mistakes or errors recorded on shipping manifests or bills of lading.	Marginal - 1	1) Not all data elements are captured in the shipping procedure as required by policy. 2) Personnel are not assigned specific job responsibilities; therefore each employee records or defines record retention his way.	Acceptable - 2	1) Finished goods are properly, in accordance with policy, marked, weighed, counted and documented on all manifests and bills of lading. 2) Personnel and policy directive are clear and followed, records are retained and complete.	Comments:	All the finished goods are properly marked, counted, weighed, documented and reported on the manifest and bills of lading. Facility has policy and personnel are clearly followed all procedures and well maintained all records which is found complete.	Recommendations:	Nil			
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Comments:	All the finished goods are properly marked, counted, weighed, documented and reported on the manifest and bills of lading. Facility has policy and personnel are clearly followed all procedures and well maintained all records which is found complete.															
Recommendations:	Nil															
PS1.11	Is conveyance integrity maintained to prevent the introduction of unauthorized personnel or material into a container/trailer/railcar? Are containers sealed and or locked during unloading pauses and after loading and prior to departure so tampering would be evident?	2														
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Auditor Note: Auditor must check for: If there is a pause in loading between the arrival and the sealing of the container, do both written and actual procedures include guarding or locking the container? This refers to break or change of shift during loading of containers.</td> </tr> <tr> <td style="width: 20%;">Question Policy</td> <td></td> </tr> <tr> <td>Unacceptable - 0</td> <td>1) Conveyance inspections prior to shipping activities are not conducted. 2) Conveyances that are deemed not to provide adequate security are not rejected or vendors reprimanded for providing substandard equipment. 3) Conveyance not sealed during loading pauses & after loading is completed.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Policy requires inspection but records do not exist regarding conveyance integrity or security. 2) Inspections are random and not inclusive of external details where un-manifested freight could be hidden or introduced. 3) Conveyance not sealed during loading pauses but loading area is restricted.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Conveyance integrity maintained during loading procedure and lock placed during loading pauses. 2) Loading supervised to avoid introduction of illegal materials and to prevent overages/shortages. 3) Vendor's selection is done based on minimum security standard for conveyance.</td> </tr> <tr> <td>Comments:</td> <td>Facility had maintained the conveyance integrity during the loading process and lock placed during loading pauses. Loading and loading pauses were monitored by security guards and CCTV camera also. Further the vendor selection is done based on security standard for conveyance. Further it was noted from the review of records, interaction with the facility management and security officer that containers are allowed to the loading area only after seven point check and loaded in a single stroke in front the security guard and sealed by Bolt seal which meets ISO/PAS 17712 standard.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Auditor Note: Auditor must check for: If there is a pause in loading between the arrival and the sealing of the container, do both written and actual procedures include guarding or locking the container? This refers to break or change of shift during loading of containers.		Question Policy		Unacceptable - 0	1) Conveyance inspections prior to shipping activities are not conducted. 2) Conveyances that are deemed not to provide adequate security are not rejected or vendors reprimanded for providing substandard equipment. 3) Conveyance not sealed during loading pauses & after loading is completed.	Marginal - 1	1) Policy requires inspection but records do not exist regarding conveyance integrity or security. 2) Inspections are random and not inclusive of external details where un-manifested freight could be hidden or introduced. 3) Conveyance not sealed during loading pauses but loading area is restricted.	Acceptable - 2	1) Conveyance integrity maintained during loading procedure and lock placed during loading pauses. 2) Loading supervised to avoid introduction of illegal materials and to prevent overages/shortages. 3) Vendor's selection is done based on minimum security standard for conveyance.	Comments:	Facility had maintained the conveyance integrity during the loading process and lock placed during loading pauses. Loading and loading pauses were monitored by security guards and CCTV camera also. Further the vendor selection is done based on security standard for conveyance. Further it was noted from the review of records, interaction with the facility management and security officer that containers are allowed to the loading area only after seven point check and loaded in a single stroke in front the security guard and sealed by Bolt seal which meets ISO/PAS 17712 standard.	Recommendations:	Nil	
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Comments:	Facility had maintained the conveyance integrity during the loading process and lock placed during loading pauses. Loading and loading pauses were monitored by security guards and CCTV camera also. Further the vendor selection is done based on security standard for conveyance. Further it was noted from the review of records, interaction with the facility management and security officer that containers are allowed to the loading area only after seven point check and loaded in a single stroke in front the security guard and sealed by Bolt seal which meets ISO/PAS 17712 standard.															
Recommendations:	Nil															
PS1.12	Are all trailers/containers, etc. of solid walled construction and in good condition?	2														
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Trailers and cargo vans are not solid wall construction. 2) Trailers and cargo vans are not in good condition.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Trailers and Cargo Vans are of solid wall construction but cannot be locked. 2) Trailers and Cargo Vans are of solid Construction but inadequate procedures on key control.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Facility has adequate procedures to conduct a thorough and documented inspection of quality of conveyance before loading takes place. 2) Third party shipping provider's security procedures are available and are adequate.</td> </tr> <tr> <td>Comments:</td> <td>The facility has a procedure in place to check the integrity of the container through 7 point inspection check and only after 7 point check result is ok then only the container is allowed to enter the loading area. Facility has adequate security procedure for third party shipping providers.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Trailers and cargo vans are not solid wall construction. 2) Trailers and cargo vans are not in good condition.	Marginal - 1	1) Trailers and Cargo Vans are of solid wall construction but cannot be locked. 2) Trailers and Cargo Vans are of solid Construction but inadequate procedures on key control.	Acceptable - 2	1) Facility has adequate procedures to conduct a thorough and documented inspection of quality of conveyance before loading takes place. 2) Third party shipping provider's security procedures are available and are adequate.	Comments:	The facility has a procedure in place to check the integrity of the container through 7 point inspection check and only after 7 point check result is ok then only the container is allowed to enter the loading area. Facility has adequate security procedure for third party shipping providers.	Recommendations:	Nil			
Question Policy																
Unacceptable - 0	1) Trailers and cargo vans are not solid wall construction. 2) Trailers and cargo vans are not in good condition.															
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Acceptable - 2	1) Facility has adequate procedures to conduct a thorough and documented inspection of quality of conveyance before loading takes place. 2) Third party shipping provider's security procedures are available and are adequate.															
Comments:	The facility has a procedure in place to check the integrity of the container through 7 point inspection check and only after 7 point check result is ok then only the container is allowed to enter the loading area. Facility has adequate security procedure for third party shipping providers.															
Recommendations:	Nil															



CTPAT Audit Workbook Instructions

Question #	Questions	Score
PS1.13	Are written procedures in place to verify the physical integrity of the container or trailer structure prior to stuffing, including the reliability of the locking mechanisms of the doors as required on Lowe's C-TPAT 7 point inspection?	2
	<p>Auditor Note: Lowe's requires vendor to complete a pre-loading container inspection. Auditor may witness the vendor completing this form or historical document review is accepted. Make sure auditor witnesses conveyance inspection prior to loading. Auditors must check for compliance on the following areas make sure auditor witnesses conveyance inspection prior to loading:</p> <p>Container Inspection Procedures must be in place to verify the physical integrity of the container structure prior to stuffing, to include the reliability of the locking mechanisms of the doors. A seven-point inspection process is required for all containers:</p> <ol style="list-style-type: none"> 1) Front wall (opposite end from rear doors) 2) Left Side 3) Right Side 4) Floor 5) Ceiling/Roof 6) Inside/Outside doors 7) Outside/Undercarriage <p>Trailer Inspection Procedures must be in place to verify the physical integrity of the trailer structure prior to stuffing, to include the reliability of the locking mechanisms of the doors. The following ten-point inspection process is required for all trailers:</p> <ol style="list-style-type: none"> 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 10) Outside/Undercarriage <p>Question Policy</p> <p>Unacceptable - 0</p> <ol style="list-style-type: none"> 1) Factory not using required 7 point container & 10 point trailer inspection including locking mechanism. 2) Factory does not have a procedure in place to verify conveyance physical integrity & structure including locking mechanism prior to stuffing. 3) Container/trailer inspection not performed prior to stuffing. <p>Marginal - 1</p> <ol style="list-style-type: none"> 1) Factory inspects conveyance physical integrity & structure including locking mechanism but documentation is not kept. 2) Loading personnel inspect conveyance prior to stuffing but not to the extent outlined in 7 point container & 10 point trailer inspection. 3) Loading personnel not properly trained to identify sub-standard conveyance. <p>Acceptable - 2</p> <ol style="list-style-type: none"> 1) Loading personnel fully aware & trained to conduct 7 point container & 10 point trailer inspection including locking mechanism. 2) Container/trailer inspection conducted prior to cargo stuffing/ conveyance conditions documented and kept in accordance with Lowe's procedure. 3) Personnel trained to identify sub-standard equipment and to reject it prior to container stuffing. <p>Comments: According to the facility management shipping in-charge will conduct 7 point inspection of container prior to approve the container for load. Further the facility has recorded and maintained records according to lowe's procedure.</p> <p>Recommendations: Nil</p>	
PS1.14	Are seal numbers recorded on the shipping documents and records kept? Is shipper utilizing Lowe's approved seals? ISO PAS 17712 or better?	2
	<p>Auditor Note: For Ocean shipments Lowe's requires vendor/shipper to pick up high security bolt seal from the Ocean Carrier at the time empty container is picked at Ocean Carrier's yard prior to loading. For over the road shipments (i.e. Mexico) shippers are required to provide their own high security bolt seal.</p> <p>Question Policy</p> <p>Unacceptable - 0</p> <ol style="list-style-type: none"> 1) Factory is not utilizing high security bolt seal/ Seal for Ocean shipment is not collected from Ocean Carrier when empty container is picked up. 2) No written procedure exists to document or track seal number on shipping documents. <p>Marginal - 1</p> <ol style="list-style-type: none"> 1) Procedure in place to instruct personnel to collect high security seal from Ocean Carrier when empty container is picked up. 2) Factory utilizing high security seals but seal number is not properly documented or verified against shipping documents. 3) Seal number documented in shipping document (bill of lading), but no tracking ability exists. <p>Acceptable - 2</p> <ol style="list-style-type: none"> 1) Factory utilizing high security bolt seals. 2) Seal number affixed verified and recorded in shipping documents. 3) Seal handling procedures are evident, well maintained and retained. <p>Comments: Facility use high security bolt seal (liner seal and custom seal) to seal the container as per Lowes standard. Seal meets the ISO PASS 17712 standard. Records of the seals are maintained. Seal number affixed was recorded in the shipping documents. Further seal handling procedures are evident, well maintained and retained.</p> <p>Recommendations: Nil</p>	



CTPAT Audit Workbook Instructions

Question #	Questions	Score												
PS1.15	Are seals kept under lock and key to prevent unauthorized access?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Question Policy</td> <td></td> </tr> <tr> <td>Unacceptable - 0</td> <td>1) There are no designated employee(s) in charge of distributing container seals for integrity purposes. 2) New seals or seal affixing procedures are not available.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Seal procedures are available, but not current and not being applied per procedure.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Seal handling, seal security and seal procedures are complete, training properly recorded and documents pertaining to seal history properly retained.</td> </tr> <tr> <td>Comments:</td> <td>The facility does not store any seals, only the CHA carrier and custom seal has the seal who brings only at the time of loading and seal the container once the loading is completed.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) There are no designated employee(s) in charge of distributing container seals for integrity purposes. 2) New seals or seal affixing procedures are not available.	Marginal - 1	1) Seal procedures are available, but not current and not being applied per procedure.	Acceptable - 2	1) Seal handling, seal security and seal procedures are complete, training properly recorded and documents pertaining to seal history properly retained.	Comments:	The facility does not store any seals, only the CHA carrier and custom seal has the seal who brings only at the time of loading and seal the container once the loading is completed.	Recommendations:	Nil	
Question Policy														
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Marginal - 1	1) Seal procedures are available, but not current and not being applied per procedure.													
Acceptable - 2	1) Seal handling, seal security and seal procedures are complete, training properly recorded and documents pertaining to seal history properly retained.													
Comments:	The facility does not store any seals, only the CHA carrier and custom seal has the seal who brings only at the time of loading and seal the container once the loading is completed.													
Recommendations:	Nil													
PS1.16	Are there anti-pilferage measures in place (packaging/wrapping) on finished goods?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Question Policy</td> <td></td> </tr> <tr> <td>Unacceptable - 0</td> <td>1) No procedure exists or is in place to prevent pilferage of finished goods.</td> </tr> <tr> <td>Marginal - 1</td> <td>1) Procedures exist but are not documented. 2) Procedures are not always followed such as during peak season. 3) Procedures do not specify High Value shipments and different procedures to protect the goods.</td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Adequate procedures in place that do not exceed local regulations and have been adequately communicated to all employees. 2) Best practices and new technologies employed to assist shipping staff to protect goods in transit. 3) Procedures include work instructions to shipping staff. 4) Procedures include audits to verify compliance with Management oversight to increase cargo security at all times.</td> </tr> <tr> <td>Comments:</td> <td>Facility has adequate procedure in place that do not exceed local regulations which is communicated to all employees. Work instruction is in place which is communicated to all the packing employees and audits were conducted to verify compliance with Management oversight to increase cargo security at all times.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) No procedure exists or is in place to prevent pilferage of finished goods.	Marginal - 1	1) Procedures exist but are not documented. 2) Procedures are not always followed such as during peak season. 3) Procedures do not specify High Value shipments and different procedures to protect the goods.	Acceptable - 2	1) Adequate procedures in place that do not exceed local regulations and have been adequately communicated to all employees. 2) Best practices and new technologies employed to assist shipping staff to protect goods in transit. 3) Procedures include work instructions to shipping staff. 4) Procedures include audits to verify compliance with Management oversight to increase cargo security at all times.	Comments:	Facility has adequate procedure in place that do not exceed local regulations which is communicated to all employees. Work instruction is in place which is communicated to all the packing employees and audits were conducted to verify compliance with Management oversight to increase cargo security at all times.	Recommendations:	Nil	
Question Policy														
Unacceptable - 0	1) No procedure exists or is in place to prevent pilferage of finished goods.													
Marginal - 1	1) Procedures exist but are not documented. 2) Procedures are not always followed such as during peak season. 3) Procedures do not specify High Value shipments and different procedures to protect the goods.													
Acceptable - 2	1) Adequate procedures in place that do not exceed local regulations and have been adequately communicated to all employees. 2) Best practices and new technologies employed to assist shipping staff to protect goods in transit. 3) Procedures include work instructions to shipping staff. 4) Procedures include audits to verify compliance with Management oversight to increase cargo security at all times.													
Comments:	Facility has adequate procedure in place that do not exceed local regulations which is communicated to all employees. Work instruction is in place which is communicated to all the packing employees and audits were conducted to verify compliance with Management oversight to increase cargo security at all times.													
Recommendations:	Nil													
PS1.17	Are procedures in place to ensure that Bills of Lading are complete, legible, accurate, and submitted to Carrier in a timely manner?	2												
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Recommendations:	Nil													
PS1.18	Are international, domestic, high-value, and dangerous goods properly segregated with access restricted to need and properly marked?	2												
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Recommendations:	Nil													
PS1	<p>Comments:</p> <p>The facility has assigned shipping in-charge with security supervisor to supervise loading and unloading process to check the manifest, reconciled to validate content of the conveyance and to record and report discrepancies. All the shipping and receiving areas are monitored and recorded through CCTV cameras and maintains records for a more than 60 days. According to the facility process, shipping in-charge will inspect the container based on 7 point inspection. Only after 7 point inspection check result is ok then the container is allowed to have access in to the loading area, further the facility had recorded and maintained records according to Lowe's procedure. Facility use high security bolt seal (liner seal and custom seal) to seal the container as per Lowe's standard. A seal meets the ISO PASS 17712 standard. Records of the seals are maintained. Seal number affixed was recorded in the shipping documents. Further seal handling procedures are evident, well maintained and retained. The facility does not store any seals; only the CHA carrier has the seal that brings only at the time of loading and seal the container once the loading is completed. It was noted from the review of shipment records that the facility had prepared all the necessary shipment documents which is legible, accurate and submitted to the carrier in a timely manner and retained all the copies of the shipment documents at their respective files.</p>													



CTPAT Audit Workbook Instructions

Question #	Questions	Score												
High Risk Countries - Additional Audit Questions														
High Risk Indicator	Is this factory located in a high risk country?	Yes												
Section #	Section Name													
HRC1	Mandatory Requirements													
HRC01.01	Do CCTV cameras cover all internal dock doors, windows, office area, and warehouse activities and are connected to a 24-7-365 emergency response?	2												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Cameras do not cover entire premises and system not connected to real time 24-7-365 monitoring.</td> </tr> <tr> <td>Marginal - 1</td> <td></td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Cameras in place to cover entire facility (all access doors, windows, office, and warehouse) with 24-7-365 monitoring emergency response.</td> </tr> <tr> <td>Comments:</td> <td>The facility is equipped with CCTV camera monitoring system during operating & non-operating hours (24X7X365) and has a recording of more than 60 days.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Cameras do not cover entire premises and system not connected to real time 24-7-365 monitoring.	Marginal - 1		Acceptable - 2	1) Cameras in place to cover entire facility (all access doors, windows, office, and warehouse) with 24-7-365 monitoring emergency response.	Comments:	The facility is equipped with CCTV camera monitoring system during operating & non-operating hours (24X7X365) and has a recording of more than 60 days.	Recommendations:	Nil	
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Comments:	The facility is equipped with CCTV camera monitoring system during operating & non-operating hours (24X7X365) and has a recording of more than 60 days.													
Recommendations:	Nil													
HRC01.02	Do security personnel perform daily inspection of the perimeter fence and walls to check for damages, attempted illegal access or to check if repairs are needed?	2												
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HRC01.03	Are underground access points such as culverts, drains, and utility tunnels secured to prevent unauthorized facility access?	2												
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Comments:	The facilities drains are capable to resist unlawful entry and cannot be easily penetrated, further the facility does not have under ground access points, culverts and utility tunnels.													
Recommendations:	Nil													
HRC01.04	Does facility have written key control program that establishes responsibility to maintain control of all keys and access cards?	2												
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Recommendations:	Nil													



CTPAT Audit Workbook Instructions

Question #	Questions	Score												
HRC01.05	Do gate Security guards maintain outbound vehicle log that captures out-gate date and time, driver's name and license number, container/trailer number, high security seal number, and shipment destination?	2												
	<table border="1" style="width: 100%;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Security gate personnel have an outbound log book but it is not kept up to date/ not every detail is recorded for every outbound truck.</td> </tr> <tr> <td>Marginal - 1</td> <td></td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Security log book records every outbound truck and it's up to date. Information is verified by a supervisor.</td> </tr> <tr> <td>Comments:</td> <td>Inward and outward records all maintained for all incoming material, outgoing materials and shipment. Log book with all required details are well maintained by security guards and it's verified by security supervisor regularly.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Security gate personnel have an outbound log book but it is not kept up to date/ not every detail is recorded for every outbound truck.	Marginal - 1		Acceptable - 2	1) Security log book records every outbound truck and it's up to date. Information is verified by a supervisor.	Comments:	Inward and outward records all maintained for all incoming material, outgoing materials and shipment. Log book with all required details are well maintained by security guards and it's verified by security supervisor regularly.	Recommendations:	Nil	
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Comments:	Inward and outward records all maintained for all incoming material, outgoing materials and shipment. Log book with all required details are well maintained by security guards and it's verified by security supervisor regularly.													
Recommendations:	Nil													
HRC01.06	Does facility monitor highway carriers travel time from factory to port? Do highway carriers have tracking devices in their truck (i.e. Satellite, GPS, etc.)?	2												
	<table border="1" style="width: 100%;"> <tr> <td colspan="2">Question Policy</td> </tr> <tr> <td style="width: 20%;">Unacceptable - 0</td> <td>1) Driver's travel time is not closely monitored or recorded.</td> </tr> <tr> <td>Marginal - 1</td> <td></td> </tr> <tr> <td>Acceptable - 2</td> <td>1) Driver's travel time is closely monitored and verified on their tracking devices.</td> </tr> <tr> <td>Comments:</td> <td>The facility is not equipped with Global Positioning Satellite (GPS) to track the driver, however the facility records the time and track the drivers through mobile phones.</td> </tr> <tr> <td>Recommendations:</td> <td>Nil</td> </tr> </table>	Question Policy		Unacceptable - 0	1) Driver's travel time is not closely monitored or recorded.	Marginal - 1		Acceptable - 2	1) Driver's travel time is closely monitored and verified on their tracking devices.	Comments:	The facility is not equipped with Global Positioning Satellite (GPS) to track the driver, however the facility records the time and track the drivers through mobile phones.	Recommendations:	Nil	
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Recommendations:	Nil													
HRC01.07	Are predetermined routes identified? Do drivers notify their dispatcher of any route delay due to weather, traffic, or rerouting?	2												
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Comments:	Predetermined routes are identified and drivers are required to call their dispatcher to advice of any kind of delays.													
Recommendations:	Nil													



CTPAT Audit Workbook Instructions

Overall Audit Score

Total Audit Points	149
Total Possible Points	151
Score	99%
Audit Disposition ->	Acceptable



CTPAT Audit Workbook Instructions

CTPAT AUDIT SCORING			
Section #	Section Name		
MND01	Mandatory Requirements		
Question #	Question	Points	Total Possible Points
MND1.01	Are the premises protected from unauthorized access (perimeter fencing, access controls or natural barriers)?	2	2
MND1.02	Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion?	2	2
MND1.03	Are all doors/windows/openings locked to prevent unauthorized access to the facility after business hours?	2	2
MND1.04	Is conveyance integrity maintained to prevent the introduction of unauthorized personnel or material into a container/trailer/railcar? Are containers sealed and or locked during unloading pauses and after loading and prior to departure so tampering would be evident?	2	2
MND1.05	Are procedures in place to ensure unauthorized and unidentified persons are restricted and prevented access to the truck pad, trailer and container storage areas?	2	2
MND1.06	Is all access to the facility controlled by gate and/or security officer to ensure no unauthorized access and all vehicles and containers logged in and out accordingly?	2	2
Totals		50	50
Section #	Section Name		
SMS1	SECURITY MANAGEMENT SYSTEM		
Question #	Question	Points	Total Possible Points
SMS1.01	Is there a manager or supervisor responsible for implementing security within the company? Please provide contact information.	2	2
SMS1.02	Is there a designated security representative at each company location to supervise security practices and review the introduction and removal of cargo in the receiving and shipping process?	2	2
SMS1.03	Is there a supervisor responsible for overseeing the shipping process?	2	2
SMS1.04	Is there a supervisor responsible for overseeing the receiving process?	2	2
SMS1.05	Do written security policies and procedures exist to include physical security, access controls, personnel security, education and awareness, manifest and conveyance security, the handling of incoming and outgoing goods to identify overages and shortages or the introduction of un-manifested or illegal goods?	2	2
SMS1.06	Is there a documented process for reporting and investigating security related incidents and to report them on a timely basis to law enforcement officials and security personnel?	2	2
SMS1.07	Are periodic internal/reviews conducted of all security operations at least annually?	2	2
SMS1.08	Is there a documented security improvement plan (to review with their personnel)? If yes, review the plan	2	2
SMS1.09	Do contracts with sub-contract transportation and other service providers include minimum security requirements that include all CTPAT requirements? Does the facility have written processes for the selection of business partners including product suppliers and local transportation companies? NOTE: The term "contracts" is used liberally to refer to any contracts, agreements, memorandums, written business agreements and similar documents.	2	2
Totals		18	18



CTPAT Audit Workbook Instructions

CTPAT AUDIT SCORING			
Section #	Section Name		
PSA1	PHYSICAL SECURITY & ACCESS CONTROLS		
Question #	Question	Points	Total Possible Points
PSA1.01	Are the premises protected from unauthorized access (perimeter fencing, access controls or natural barriers)?	2	2
PSA1.02	Is all access to the facility controlled by gate and/or security officer to ensure no unauthorized access and all vehicles and containers logged in and out accordingly?	2	2
PSA1.03	Is the facility equipped with adequate security warning signage?	2	2
PSA1.04	Are controls in place to document and positively identify drivers through photo identification or other means?	2	2
PSA1.05	Is driver access to the interior of the facility limited to a secure, segregated waiting area?	2	2
PSA1.06	Are controls in place to prevent unauthorized individuals from entering the facility or conveyances?	2	2
PSA1.07	Are employees and authorized visitors positively identified with photo identification or other means?	2	2
PSA1.08	Are visitors/contractors logged in, issued a badge, and escorted?	2	2
PSA1.09	Is adequate lighting provided inside and outside the facility to include parking areas?	2	2
PSA1.10	Are all doors/windows/openings locked to prevent unauthorized access to the facility after business hours?	2	2
PSA1.11	Do you utilize internal or external security officers on site, and if yes, are the post procedures documented, comprehensive, and current?	2	2
PSA1.12	Are personal belongings inspected upon ingress or egress to the facility to prevent the introduction or removal of unauthorized material?	2	2
PSA1.13	Are controls in place to prevent unauthorized access to computer systems?	2	2
PSA1.14	Is after-hours security and lighting adequate?	2	2
PSA1.15	Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion?	2	2
Totals		30	30
Section #	Section Name		
HR1	HUMAN RESOURCES (PERSONNEL SECURITY & EDUCATION AND AWARENESS)		
Question #	Question	Points	Total Possible Points
HR1.01	Are pre-employment back-ground checks conducted that include criminal checks and application verification to the fullest extent allowed by law? (May be country specific)	2	2
HR1.02	Are the same back-ground checks required of temporary and contract personnel?	2	2
HR1.03	Are employees (temporary and permanent) and contractors subject to drug testing as allowed by governing law?	0	2
HR1.04	Do all employees receive security training both during new employee orientation and on an ongoing basis that covers, unauthorized access, maintaining cargo integrity, and the recognition of internal conspiracies?	2	2
HR1.05	Is there a documented Code of Conduct, "Factory Rules" or other forms of employee conduct guidelines that address security?	2	2
HR1.06	Are employees encouraged to and rewarded to report anomalies and wrongdoings?	2	2
HR1.07	Do employee personnel receive training in document fraud and computer security?	2	2
HR1.08	Is there a process for handling terminated employees or contractors and preventing subsequent access to the premises & computers?	2	2
Totals		14	16



CTPAT Audit Workbook Instructions

CTPAT AUDIT SCORING			
Section #	Section Name		
PS1	PROCEDURAL SECURITY (RECEIVING AND SHIPPING PRACTICES, MANIFEST PROCEDURES AND CONVEYANCE SECURITY)		
Question #	Question	Points	Total Possible Points
PS1.01	Are there written security procedures covering receiving and shipping operations to prevent cargo loss or the introduction of unauthorized or un-manifested material?	2	2
PS1.02	Are the shipping and receiving areas separate restricted-access areas with access limited to only those employees positively identified who work in the area?	2	2
PS1.03	Are procedures in place to ensure unauthorized and unidentified persons are restricted and prevented access to the truck pad, trailer and container storage areas?	2	2
PS1.04	Is access of personal vehicles and cars restricted and prevented from parking in the truck pad, shipping, receiving, and cargo areas?	2	2
PS1.05	Is the loading/unloading of trucks and trailers supervised? If so, by whom?	2	2
PS1.06	Are incoming and outgoing vehicles, drivers, containers, trailers, and railcars verified and logged?	2	2
PS1.07	Are the shipping and receiving docks and trailer/container storage yards monitored by CCTV and recorded?	2	2
PS1.08	Are adequate records kept of incoming and outgoing goods?	2	2
PS1.09	Is there a procedure for detecting and reporting shortages and overages in receiving?	2	2
PS1.10	Are finished products properly marked, counted, weighed (if necessary), documented, and reported on the manifest and bills of lading?	2	2
PS1.11	Is conveyance integrity maintained to prevent the introduction of unauthorized personnel or material into a container/trailer/railcar? Are containers sealed and or locked during unloading pauses and after loading and prior to departure so tampering would be evident?	2	2
PS1.12	Are all trailers/containers, etc. of solid walled construction and in good condition?	2	2
PS1.13	Are written procedures in place to verify the physical integrity of the container or trailer structure prior to stuffing, including the reliability of the locking mechanisms of the doors as required on Lowe's C-TPAT 7 point inspection?	2	2
PS1.14	Are seal numbers recorded on the shipping documents and records kept? Is shipper utilizing Lowe's approved seals? ISO PAS 17712 or better?	2	2
PS1.15	Are seals kept under lock and key to prevent unauthorized access?	2	2
PS1.16	Are there anti-pilferage measures in place (packaging/wrapping) on finished goods?	2	2
PS1.17	Are procedures in place to ensure that Bills of Lading are complete, legible, accurate, and submitted to Carrier in a timely manner?	2	2
PS1.18	Are international, domestic, high-value, and dangerous goods properly segregated with access restricted to need and properly marked?	2	2
Totals		36	36



CTPAT Audit Workbook Instructions

CTPAT AUDIT SCORING			
Section #	Section Name		
HRC1	High Risk Countries - Additional Audit Questions		
High Risk Indicator	Is this factory located in a high risk country?	Yes	
Question #	Question	Points	Total Possible Points
HRC01.01	Do CCTV cameras cover all internal dock doors, windows, office area, and warehouse activities and are connected to a 24-7-365 emergency response?	2	2
HRC01.02	Do security personnel perform daily inspection of the perimeter fence and walls to check for damages, attempted illegal access or to check if repairs are needed?	2	2
HRC01.03	Are underground access points such as culverts, drains, and utility tunnels secured to prevent unauthorized facility access? Note - Not all facilities would have underground access points	2	2
HRC01.04	Does facility have written key control program that establishes responsibility to maintain control of all keys and access cards?	2	2
HRC01.05	Do gate Security guards maintain outbound vehicle log that captures out-gate date and time, driver's name and license number, container/trailer number, high security seal number, and shipment destination?	2	2
HRC01.06	Does facility monitor highway carriers travel time from factory to port? Do highway carriers have tracking devices in their truck (i.e. Satellite, GPS, etc.)?	2	2
HRC01.07	Are predetermined routes identified? Do drivers notify their dispatcher of any route delay due to weather, traffic, or rerouting?	2	2
Totals		1	1



CTPAT Audit Workbook Instructions

Information Gathering						
Comments:						
Vendor HR Information						
Question ID	Question	Answer	Priority	Points Earned	Total Points Possible	Percentage
VHR1.01	Background check exists?	Yes		N/A	N/A	N/A
VHR1.02	Internal?	Yes		N/A	N/A	N/A
VHR1.03	External?	Yes		N/A	N/A	N/A
VHR1.04	Time period covered (# yrs)	1 Year		N/A	N/A	N/A
VHR1.05	Verify educational history?	Yes		N/A	N/A	N/A
VHR1.06	Verify residence?	Yes		N/A	N/A	N/A
VHR1.07	Verify past work history?	Yes		N/A	N/A	N/A
VHR1.08	Criminal history (local)?	Yes		N/A	N/A	N/A
VHR1.09	Criminal history (state)?	No		N/A	N/A	N/A
VHR1.10	Criminal history (federal)?	No		N/A	N/A	N/A
VHR1.11	Criminal history (against the law for use in hiring)?	Yes		N/A	N/A	N/A
VHR1.12	Reliability factor of data?	High		N/A	N/A	N/A
VHR1.13	Interview	Reference		N/A	N/A	N/A
VHR1.14	Data maintained in file?	Yes		N/A	N/A	N/A
VHR1.15	Different model for key personnel?	Yes		N/A	N/A	N/A
VHR1.16	Revalidations?	Yes		N/A	N/A	N/A
VHR1 Comments:						



CTPAT Audit Workbook Instructions

Information Gathering						
Trucker Evaluation						
Trucker 1						
Question ID	Question					Answer
T1.0	Is there a trucking representative present?					No
Question Policy: This will trigger questions to be answered for background and security for the 1st trucking representative present.						
T1 Comments:						
NA						
TRK1 - Trucker Background Check						
Question ID	Question	Answer	Priority	Points Earned	Total Points Possible	Percentage
TBC1.01	Background check exists?	N/A		N/A	N/A	N/A
TBC1.02	Internal?	N/A		N/A	N/A	N/A
TBC1.03	External?	N/A		N/A	N/A	N/A
TBC1.04	Time period covered (# yrs)	NA		N/A	N/A	N/A
TBC1.05	Verify educational history?	N/A		N/A	N/A	N/A
TBC1.06	Verify residence?	N/A		N/A	N/A	N/A
TBC1.07	Verify past work history?	N/A		N/A	N/A	N/A
TBC1.08	Criminal history (local)?	N/A		N/A	N/A	N/A
TBC1.09	Criminal history (state)?	N/A		N/A	N/A	N/A
TBC1.10	Criminal history (federal)?	N/A		N/A	N/A	N/A
TBC1.11	Criminal history (against the law for use in hiring)?	N/A		N/A	N/A	N/A
TBC1.12	Reliability factor of data?			N/A	N/A	N/A
TBC1.13	Interview			N/A	N/A	N/A
TBC1.14	Data maintained in file?	N/A		N/A	N/A	N/A
TBC1.15	Different model for key personnel?	N/A		N/A	N/A	N/A
TBC1.16	Revalidations?	N/A		N/A	N/A	N/A
TBC1 Comments:						



CTPAT Audit Workbook Instructions

Information Gathering						
TRK1 - Transportation Evaluation						
Question ID	Question	Answer	Priority	Points Earned	Total Points Possible	Percentage
TTE1.01	Is Transportation Evaluation required?			N/A	N/A	N/A
TTE1.02	Name of person interviewed:			N/A	N/A	N/A
TTE1.03	Contract exists			N/A	N/A	N/A
TTE1.04	Security language in contract?			N/A	N/A	N/A
TTE1.05	Security manager?			N/A	N/A	N/A
TTE1.06	Distances to principal port?			N/A	N/A	N/A
TTE1.07	Is there MX/CAN land border crossing?			N/A	N/A	N/A
TTE1.08	Are there any transfers of cargo en route?			N/A	N/A	N/A
TTE1.09	Where?			N/A	N/A	N/A
TTE1.10	Change drivers?			N/A	N/A	N/A
TTE1.11	En route security procedures exist?			N/A	N/A	N/A
TTE1 Comments:						



CTPAT Audit Workbook Instructions

Information Gathering						
Trucker 2						
Question ID	Question					Answer
T2.0	Is there another trucking representative present?					
Question Policy: This will trigger questions to be answered for background and security for the 2nd trucking representative present.						
T2 Comments:						
TRK2 - Trucker Background Check						
Question ID	Question	Answer	Priority	Points Earned	Total Points Possible	Percentage
TBC2.01	Background check exists?			N/A	N/A	N/A
TBC2.02	Internal?			N/A	N/A	N/A
TBC2.03	External?			N/A	N/A	N/A
TBC2.04	Time period covered (# yrs)			N/A	N/A	N/A
TBC2.05	Verify educational history?			N/A	N/A	N/A
TBC2.06	Verify residence?			N/A	N/A	N/A
TBC2.07	Verify past work history?			N/A	N/A	N/A
TBC2.08	Criminal history (local)?			N/A	N/A	N/A
TBC2.09	Criminal history (state)?			N/A	N/A	N/A
TBC2.10	Criminal history (federal)?			N/A	N/A	N/A
TBC2.11	Criminal history (against the law for use in hiring)?			N/A	N/A	N/A
TBC2.12	Reliability factor of data?			N/A	N/A	N/A
TBC2.13	Interview			N/A	N/A	N/A
TBC2.14	Data maintained in file?			N/A	N/A	N/A
TBC2.15	Different model for key personnel?			N/A	N/A	N/A
TBC2.16	Revalidations?			N/A	N/A	N/A
TBC2 Comments:						



CTPAT Audit Workbook Instructions

Information Gathering						
TRK2 - Transportation Evaluation						
Question ID	Question	Answer	Priority	Points Earned	Total Points Possible	Percentage
TTE2.01	Is Transportation Evaluation required?			N/A	N/A	N/A
TTE2.02	Name of person interviewed:			N/A	N/A	N/A
TTE2.03	Contract exists			N/A	N/A	N/A
TTE2.04	Security language in contract?			N/A	N/A	N/A
TTE2.05	Security manager?			N/A	N/A	N/A
TTE2.06	Distances to principal port?			N/A	N/A	N/A
TTE2.07	Is there MX/CAN land border crossing?			N/A	N/A	N/A
TTE2.08	Are there any transfers of cargo en route?			N/A	N/A	N/A
TTE2.09	Where?			N/A	N/A	N/A
TTE2.10	Change drivers?			N/A	N/A	N/A
TTE2.11	En route security procedures exist?			N/A	N/A	N/A
TTE2 Comments:						



CTPAT Audit Workbook Instructions

Information Gathering						
Trucker 3						
Question ID	Question					Answer
T3.0	Is there another trucking representative present?					
Question Policy: This will trigger questions to be answered for background and security for the 3rd trucking representative present.						
T3 Comments:						
TRK3 - Trucker Background Check						
Question ID	Question	Answer	Priority	Points Earned	Total Points Possible	Percentage
TBC3.01	Background check exists?			N/A	N/A	N/A
TBC3.02	Internal?			N/A	N/A	N/A
TBC3.03	External?			N/A	N/A	N/A
TBC3.04	Time period covered (# yrs)			N/A	N/A	N/A
TBC3.05	Verify educational history?			N/A	N/A	N/A
TBC3.06	Verify residence?			N/A	N/A	N/A
TBC3.07	Verify past work history?			N/A	N/A	N/A
TBC3.08	Criminal history (local)?			N/A	N/A	N/A
TBC3.09	Criminal history (state)?			N/A	N/A	N/A
TBC3.10	Criminal history (federal)?			N/A	N/A	N/A
TBC3.11	Criminal history (against the law for use in hiring)?			N/A	N/A	N/A
TBC3.12	Reliability factor of data?			N/A	N/A	N/A
TBC3.13	Interview			N/A	N/A	N/A
TBC3.14	Data maintained in file?			N/A	N/A	N/A
TBC3.15	Different model for key personnel?			N/A	N/A	N/A
TBC3.16	Revalidations?			N/A	N/A	N/A
TBC3 Comments:						



CTPAT Audit Workbook Instructions

Information Gathering						
TRK3 - Transportation Evaluation						
Question ID	Question	Answer	Priority	Points Earned	Total Points Possible	Percentage
TTE3.01	Is Transportation Evaluation required?			N/A	N/A	N/A
TTE3.02	Name of person interviewed:			N/A	N/A	N/A
TTE3.03	Contract exists			N/A	N/A	N/A
TTE3.04	Security language in contract?			N/A	N/A	N/A
TTE3.05	Security manager?			N/A	N/A	N/A
TTE3.06	Distances to principal port?			N/A	N/A	N/A
TTE3.07	Is there MX/CAN land border crossing?			N/A	N/A	N/A
TTE3.08	Are there any transfers of cargo en route?			N/A	N/A	N/A
TTE3.09	Where?			N/A	N/A	N/A
TTE3.10	Change drivers?			N/A	N/A	N/A
TTE3.11	En route security procedures exist?			N/A	N/A	N/A
TTE3 Comments:						



CTPAT Audit Workbook Instructions

Lowe's Corrective Action Plan

Audit Information	
3rd Party:	ITS
Assessor(s) Name:	Parul Jaglan
Audit Type:	Annual / Renewal
Audit Date:	11.15.2016
Auditor Email	parul.jaglan@intertek.com
Report Number	IDA-15282-01
Audit Result	Acceptable

Facility Information	
Vendor Name	Raj Overseas
Factory Name	Raj Overseas
Factory Address	Plot No 149-154 Sector - 25 Huda , Panipat, Haryana, India, 132103

Section #	Section Name
MND01	Mandatory Requirements

Section #	Section Name
SMS1	SECURITY MANAGEMENT SYSTEM

Section #	Section Name
PSA1	PHYSICAL SECURITY AND ACCESS CONTROLS

Section #	Section Name
HR1	HUMAN RESOURCES

Question #	Question	Score
HR1.03	Are employees (temporary and permanent) and contractors subject to drug testing as allowed by governing law?	0
Comments	Drug screening test is not conducted for any of the employee till date.	
Recommendations	It is recommended the facility to conduct drug screening test to their employees.	
Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	
Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	
Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	
PIP Follow up	...Lowe's PIP Follow up Notes...	
DateLowe's Follow up Date...	
FindingsFinal Findings of PIP Item...	

Section #	Section Name
PS1	PROCEDURAL SECURITY

Section #	Section Name
HRC	High Risk Countries - Additional Audit Questions

End Of Report.....

Audit Pictures and Descriptions:



Description: Facility Name Board



Description: Facility main gate with security guard



Description: Facility Building



Description: Evacuation plan



Description: Security supervisor on gate



Description: Security Policies displayed



Description: Employees parking area



Description: Employees parking area

Audit Pictures and Descriptions:



Description: Visitor parking area



Description: Lights in periphery area



Description: CCTV on gate



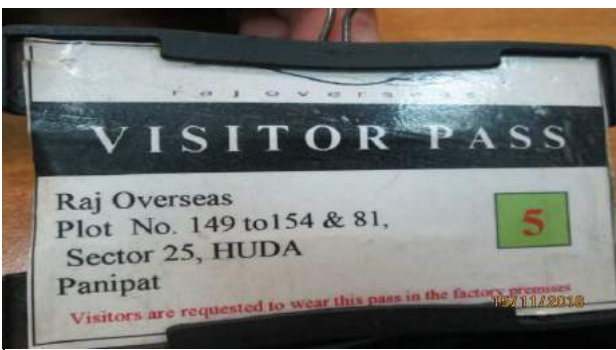
Description: Periphery wall



Description: Periphery wall



Description: Periphery wall



Description: Visitor card



Description: Lunch box storage area

Audit Pictures and Descriptions:



Description: Semi finished good Section



Description: Checking section



Description: Stitching section



Description: Clipping section



Description: Finishing section



Description: Packing section



Description: Packing section with guard



Description: Authorised person list at packing section

Audit Pictures and Descriptions:



Description: Packing process



Description: CCTV monitoring



Description: Loading section



Description: 7 point inspection checklist for employe reference



Description: CCTV at loading area



Description: Metal detector



Description: _____



Description: _____



CTPAT Audit Workbook Instructions

Audit Pictures and Descriptions:

Description: _____

Description: _____

Description: _____

Description: _____

Description: _____

Description: _____

Description: _____

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CTPAT Audit Workbook Instructions

Audit Pictures and Descriptions:

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CTPAT Audit Workbook Instructions

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CTPAT Audit Workbook Instructions

1	0	zzz	Lowe's Corrective Action Plan	ZZZ
2	0	Audit Information	zzz	ZZZ
3	0	3rd Party:	ITS	ZZZ
4	0	Assessor(s) Name:	Parul Jaglan	ZZZ
5	0	Audit Type:	Annual / Renewal	ZZZ
6	0	Audit Date:	11.15.2016	ZZZ
7	0	Auditor Email	parul.jaglan@intertek.com	ZZZ
8	0	Report Number	IDA-15282-01	ZZZ
9	0	Audit Result	Acceptable	ZZZ
10	0	zzz	zzz	ZZZ
11	0	zzz	zzz	ZZZ
12	0	Facility Information	zzz	ZZZ
13	0	Vendor Name	Raj Overseas	ZZZ
14	0	Factory Name	Raj Overseas	ZZZ
15	0	Factory Address	Plot No 149-154 Sector - 25 Huda , Panipat, Haryana, India, 132103	ZZZ
16	0	zzz	zzz	ZZZ
17	0	zzz	zzz	ZZZ
18	0	Section #	Section Name	ZZZ
19	0	MND01	Mandatory Requirements	ZZZ
20		zzz	zzz	ZZZ
21	99	Question #	Question	Score
22	99	MND1.01	Are the premises protected from unauthorized access (perimeter fencing, access controls or natural barriers)?	2
23	99	Comments	The facility is secured with 15 feet masonry wall with 2 feet barbed metal wire on all the four sides with sufficient lightings with UPS backup which is manned and monitored through security guards and CCTV's during operating and non-operating hours.	ZZZ
24	99	Recommendations	Nil	ZZZ
25	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
26	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
27	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
28	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
29	99	DateLowe's Follow up Date...	ZZZ
30	99	FindingsFinal Findings of PIP Item...	ZZZ
31	99	zzz	zzz	ZZZ
32	99	Question #	Question	Score
33	99	MND1.02	Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion?	2
34	99	Comments	All the buildings in facility is constructed by masonry wall with doors and windows of secured construction to protect against outside intrusion.	ZZZ
35	99	Recommendations	Nil	ZZZ
36	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
37	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
38	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
39	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
40	99	DateLowe's Follow up Date...	ZZZ
41	99	FindingsFinal Findings of PIP Item...	ZZZ
42	99	zzz	zzz	ZZZ
43	99	Question #	Question	Score
44	99	MND1.03	Are all doors/windows/openings locked to prevent unauthorized access to the facility after business hours?	2
45	99	Comments	Facility doors and windows are locked to prevent intrusion after business hours and the locks found in good condition and effective. Facility security force works 24 x7x365.	ZZZ
46	99	Recommendations	Nil	ZZZ
47	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
48	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
49	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
50	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
51	99	DateLowe's Follow up Date...	ZZZ
52	99	FindingsFinal Findings of PIP Item...	ZZZ
53	99	zzz	zzz	ZZZ
54	99	Question #	Question	Score

CTPAT Audit Workbook Instructions

55	99	MND1.04	Is conveyance integrity maintained to prevent the introduction of unauthorized personnel or material into a container/trailer/railcar? Are containers sealed and or locked during unloading pauses and after loading and prior to departure so tampering would be evident?	2
56	99	Comments	Facility had maintained the conveyance integrity during the loading process and lock placed during loading pauses. Loading and loading pauses were monitored by security guards and CCTV camera also. Further the vendor selection is done based on security standard for conveyance. Further it was noted from the review of records, interaction with the facility management and security officer that containers are allowed to the loading area only after seven point check and loaded in a single stroke in front the security guard and sealed by Bolt seal which meets ISO/PAS 17712 standard.	ZZZ
57	99	Recommendations	Nil	ZZZ
58	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
59	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
60	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
61	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
62	99	DateLowe's Follow up Date...	ZZZ
63	99	FindingsFinal Findings of PIP Item...	ZZZ
64	99	ZZZ	ZZZ	ZZZ
65	99	Question #	Question	Score
66	99	MND1.05	Are procedures in place to ensure unauthorized and unidentified persons are restricted and prevented access to the truck pad, trailer and container storage areas?	2
67	99	Comments	All the containers are loaded in the loading area which has adequate lighting, guarded by a security guard and monitored by CCTV cameras to ensure unauthorised and unidentified persons are restricted and prevented access to those areas.	ZZZ
68	99	Recommendations	Nil	ZZZ
69	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
70	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
71	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
72	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
73	99	DateLowe's Follow up Date...	ZZZ
74	99	FindingsFinal Findings of PIP Item...	ZZZ
75	99	ZZZ	ZZZ	ZZZ
76	99	Question #	Question	Score
77	99	MND1.06	Is all access to the facility controlled by gate and/or security officer to ensure no unauthorized access and all vehicles and containers logged in and out accordingly?	2
78	99	Comments	Vehicular traffic is controlled, documented and screening of cargo during entry and egress exits. Valid identification such as Employee Parking, Visitors Parking and Conveyance Parking were provided and the respective vehicles were limited to their specific locations and routes. Further all the visitors and trucks were logged.	ZZZ
79	99	Recommendations	Nil	ZZZ
80	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
81	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
82	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
83	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
84	99	DateLowe's Follow up Date...	ZZZ
85	99	FindingsFinal Findings of PIP Item...	ZZZ
86	0	ZZZ	ZZZ	ZZZ
87	0	ZZZ	ZZZ	ZZZ
88	0	Section #	Section Name	ZZZ
89	0	SMS1	SECURITY MANAGEMENT SYSTEM	ZZZ
90	0	ZZZ	ZZZ	ZZZ
91	99	Question #	Question	Score
92	99	SMS1.01	Is there a manager or supervisor responsible for implementing security within the company? Please provide contact information.	2
93	99	Comments	Mr. Amit Sharma – Chief Security Officer is personal responsible for overall site security. His job responsibilities has been clearly defined and documented.	ZZZ
94	99	Recommendations	Nil	ZZZ
95	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
96	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
97	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
98	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
99	99	DateLowe's Follow up Date...	ZZZ
100	99	FindingsFinal Findings of PIP Item...	ZZZ

CTPAT Audit Workbook Instructions

101	99	zzz	zzz	zzz
102	99	Question #	Question	Score
103	99	SMS1.02	Is there a designated security representative at each company location to supervise security practices and review the introduction and removal of cargo in the receiving and shipping process?	2
104	99	Comments	Facility has deputed security guards at main gate, periphery area, shipment loading-un-loading area, container storage area. and all 3 packing area (Ground floor, first floor and second floor) to control / prevent un-authorized access and removal of cargo in shipping and receiving process.	zzz
105	99	Recommendations	Nil	zzz
106	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	zzz
107	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	zzz
108	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	zzz
109	99	PIP Follow up	...Lowe's PIP Follow up Notes...	zzz
110	99	DateLowe's Follow up Date...	zzz
111	99	FindingsFinal Findings of PIP Item...	zzz
112	99	zzz	zzz	zzz
113	99	Question #	Question	Score
114	99	SMS1.03	Is there a supervisor responsible for overseeing the shipping process?	2
115	99	Comments	The facility has assigned Mr. Omprakash –Shipping Manager and Security guard (as per shift) is responsible for overseeing the shipping process. Job responsibilities has been clearly defined and documented.	zzz
116	99	Recommendations	Nil	zzz
117	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	zzz
118	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	zzz
119	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	zzz
120	99	PIP Follow up	...Lowe's PIP Follow up Notes...	zzz
121	99	DateLowe's Follow up Date...	zzz
122	99	FindingsFinal Findings of PIP Item...	zzz
123	99	zzz	zzz	zzz
124	99	Question #	Question	Score
125	99	SMS1.04	Is there a supervisor responsible for overseeing the receiving process?	2
126	99	Comments	The facility has assigned Mr. Rakesh Kumar - Supervisor and Security gurads (as per shift) is responsible for overseeing the incoming material process. Job responsibilities has been clearly defined and documented.	zzz
127	99	Recommendations	Nil	zzz
128	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	zzz
129	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	zzz
130	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	zzz
131	99	PIP Follow up	...Lowe's PIP Follow up Notes...	zzz
132	99	DateLowe's Follow up Date...	zzz
133	99	FindingsFinal Findings of PIP Item...	zzz
134	99	zzz	zzz	zzz
135	99	Question #	Question	Score
136	99	SMS1.05	Do written security policies and procedures exist to include physical security, access controls, personnel security, education and awareness, manifest and conveyance security, the handling of incoming and outgoing goods to identify overages and shortages or the introduction of un-manifested or illegal goods?	2
137	99	Comments	It was noted from the review of records, interview with employees that the facility had documented the security policies and a procedure covering all security criteria's to identify the introduction of un-manifested men or material inside the facility. Further those policies and procedures were communicated to the employees through periodic trainings. Last training was conducted on August 26, 2016 and job specific (security gurads)is on October 26, 2016.	zzz
138	99	Recommendations	Nil	zzz
139	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	zzz
140	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	zzz
141	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	zzz
142	99	PIP Follow up	...Lowe's PIP Follow up Notes...	zzz
143	99	DateLowe's Follow up Date...	zzz
144	99	FindingsFinal Findings of PIP Item...	zzz
145	99	zzz	zzz	zzz
146	99	Question #	Question	Score
147	99	SMS1.06	Is there a documented process for reporting and investigating security related incidents and to report them on a timely basis to law enforcement officials and security personnel?	2

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148	99	Comments	The facility has an incident response process and communicated the emergency contact numbers to report incidents on timely basis to the authority. Facility has routine contact with law enforcement and customs.	ZZZ
149	99	Recommendations	Nil	ZZZ
150	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
151	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
152	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
153	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
154	99	DateLowe's Follow up Date...	ZZZ
155	99	FindingsFinal Findings of PIP Item...	ZZZ
156	99	ZZZ	ZZZ	ZZZ
157	99	Question #	Question	Score
158	99	SMS1.07	Are periodic internal/reviews conducted of all security operations at least annually?	2
159	99	Comments	The facility had conducted periodic internal audit once in a month to review their all security control operations/process/requirements and written assessment reports are well maintained. Last internal audit was conducted on November 12 , 2016 and the respective actions, follows up were made on the audit recommendations by management.	ZZZ
160	99	Recommendations	Nil	ZZZ
161	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
162	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
163	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
164	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
165	99	DateLowe's Follow up Date...	ZZZ
166	99	FindingsFinal Findings of PIP Item...	ZZZ
167	99	ZZZ	ZZZ	ZZZ
168	99	Question #	Question	Score
169	99	SMS1.08	Is there a documented security improvement plan (to review with their personnel)? If yes, review the plan	2
170	99	Comments	Based on the internal security audit findings, corrective action plans were raised with implementation dates which were reviewed in the management review meeting once in a three month. Last MRM was done on July 21, 2016. Further, none of the current findings which requires corrective actions.	ZZZ
171	99	Recommendations	Nil	ZZZ
172	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
173	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
174	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
175	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
176	99	DateLowe's Follow up Date...	ZZZ
177	99	FindingsFinal Findings of PIP Item...	ZZZ
178	99	ZZZ	ZZZ	ZZZ
179	99	Question #	Question	Score
180	99	SMS1.09	Do contracts with sub-contract transportation and other service providers include minimum security requirements that include all CTPAT requirements? Does the facility have written processes for the selection of business partners including product suppliers and local transportation companies?	2
181	99	Comments	All the service providers are insisted by the facility management to follow their security requirements at the time of hiring and the same was acknowledged by the service providers in written, further the facility management ensures the implementation by conducting Unannounced internal audits at their location once in a six month .	ZZZ
182	99	Recommendations	Nil	ZZZ
183	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
184	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
185	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
186	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
187	99	DateLowe's Follow up Date...	ZZZ
188	99	FindingsFinal Findings of PIP Item...	ZZZ
189	0	ZZZ	ZZZ	ZZZ
190	0	ZZZ	ZZZ	ZZZ
191	0	Section #	Section Name	ZZZ
192	0	PSA1	PHYSICAL SECURITY AND ACCESS CONTROLS	ZZZ
193	0	ZZZ	ZZZ	ZZZ
194	99	Question #	Question	Score
195	99	PSA1.01	Are the premises protected from unauthorized access (perimeter fencing, access controls or natural barriers)?	2

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196	99	Comments	All access gates were manned/monitored and controlled through CCTV cameras with adequate and excellent lighting. Further, the facility is secured with 15 feet masonry wall with 2 feet barbed metal wire on all the four sides with sufficient lightings which is manned and monitored through security guards and CCTV's during operating and non-operating hours (24X7).	ZZZ
197	99	Recommendations	Nil	ZZZ
198	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
199	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
200	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
201	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
202	99	DateLowe's Follow up Date...	ZZZ
203	99	FindingsFinal Findings of PIP Item...	ZZZ
204	99	zzz	zzz	ZZZ
205	99	Question #	Question	Score
206	99	PSA1.02	Is all access to the facility controlled by gate and/or security officer to ensure no unauthorized access and all vehicles and containers logged in and out accordingly?	2
207	99	Comments	Vehicular traffic is controlled, documented and screening of cargo during entry and egress exits. Valid identification such as Employee Parking, Visitors Parking and Conveyance Parking were provided and the respective vehicles were limited to their specific locations and routes. Further all the visitors and trucks were logged.	ZZZ
208	99	Recommendations	Nil	ZZZ
209	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
210	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
211	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
212	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
213	99	DateLowe's Follow up Date...	ZZZ
214	99	FindingsFinal Findings of PIP Item...	ZZZ
215	99	zzz	zzz	ZZZ
216	99	Question #	Question	Score
217	99	PSA1.03	Is the facility equipped with adequate security warning signage?	2
218	99	Comments	The facility has marked and kept the comprehensive signage which directs visitors and truckers. Further provided signage conveys that security is taken seriously.	ZZZ
219	99	Recommendations	Nil	ZZZ
220	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
221	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
222	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
223	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
224	99	DateLowe's Follow up Date...	ZZZ
225	99	FindingsFinal Findings of PIP Item...	ZZZ
226	99	zzz	zzz	ZZZ
227	99	Question #	Question	Score
228	99	PSA1.04	Are controls in place to document and positively identify drivers through photo identification or other means?	2
229	99	Comments	Facility had check photo identification of the driver and the record of the same was maintained by the facility which is found to be current and complete. Identification of drivers (driving license with photo identity) is verified and prior to access and egress and this system is integrated with access and egress controls.	ZZZ
230	99	Recommendations	Nil	ZZZ
231	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
232	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
233	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
234	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
235	99	DateLowe's Follow up Date...	ZZZ
236	99	FindingsFinal Findings of PIP Item...	ZZZ
237	99	zzz	zzz	ZZZ
238	99	Question #	Question	Score
239	99	PSA1.05	Is driver access to the interior of the facility limited to a secure, segregated waiting area?	2
240	99	Comments	Drivers do not have access to the production building and have access only up to loading area where the drivers are monitored by the security guard. Drivers are required to wait in the trucker lounge until the completion of loading.	ZZZ
241	99	Recommendations	Nil	ZZZ
242	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ

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243	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
244	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
245	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
246	99	DateLowe's Follow up Date...	ZZZ
247	99	FindingsFinal Findings of PIP Item...	ZZZ
248	99	zzz	zzz	ZZZ
249	99	Question #	Question	Score
250	99	PSA1.06	Are controls in place to prevent unauthorized individuals from entering the facility or conveyances?	2
251	99	Comments	All visitors and employees access in the facility is controlled/monitored and recorded. Visitors are not given access to the restricted area. Further, authorized employees can access to restrict area(such as final packing, loading and unloading areas) to perform their duties which was monitored by the department supervisor, security gaurd and CCTV in restricted area. Facility has procedure which requires employees to report supervisor when unauthorized entry occurs.	ZZZ
252	99	Recommendations	Nil	ZZZ
253	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
254	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
255	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
256	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
257	99	DateLowe's Follow up Date...	ZZZ
258	99	FindingsFinal Findings of PIP Item...	ZZZ
259	99	zzz	zzz	ZZZ
260	99	Question #	Question	Score
261	99	PSA1.07	Are employees and authorized visitors positively identified with photo identification or other means?	2
262	99	Comments	The facility has a policy in place and has implemented to record all the employees (Employees are provided with ID cards with Photos), drivers (Driver Licenses verified) and visitors (Valid Photo ID is recorded at the entrance and provided with the Visitors pass at the time of entry and visitor pass needs to be return while exit) with visitor ID badge worn and has adequate policy which is communicated to employees to report if any unauthorized persons were noted inside the facility campus.	ZZZ
263	99	Recommendations	Nil	ZZZ
264	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
265	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
266	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
267	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
268	99	DateLowe's Follow up Date...	ZZZ
269	99	FindingsFinal Findings of PIP Item...	ZZZ
270	99	zzz	zzz	ZZZ
271	99	Question #	Question	Score
272	99	PSA1.08	Are visitors/contractors logged in, issued a badge, and escorted?	2
273	99	Comments	Visitors / contractors positive identification will be checked and badges were given to wear while in facility and escorted by security. Further the Visitors / contractors need to authorize on the log book while entry and exit and the badge needs to return to security while exit.	ZZZ
274	99	Recommendations	Nil	ZZZ
275	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
276	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
277	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
278	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
279	99	DateLowe's Follow up Date...	ZZZ
280	99	FindingsFinal Findings of PIP Item...	ZZZ
281	99	zzz	zzz	ZZZ
282	99	Question #	Question	Score
283	99	PSA1.09	Is adequate lighting provided inside and outside the facility to include parking areas?	2
284	99	Comments	The facility is equipped with adequate lighting on both inside (all exit / emergency exit, escape route) and outside (periphery area) of the facility including parking area which has a emergency lights & generator as a backup in case of power failure. Vehicular traffic is clearly visible and license plates are readable during night time hours.	ZZZ
285	99	Recommendations	Nil	ZZZ
286	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
287	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ

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288	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
289	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
290	99	DateLowe's Follow up Date...	ZZZ
291	99	FindingsFinal Findings of PIP Item...	ZZZ
292	99	zzz	zzz	ZZZ
293	99	Question #	Question	Score
294	99	PSA1.010	Are all doors/windows/openings locked to prevent unauthorized access to the facility after business hours?	2
295	99	Comments	Facility doors and windows are locked to prevent intrusion after business hours and the locks found in good condition and effective. Facility is monitored security force 24 x7x365.	ZZZ
296	99	Recommendations	Nil	ZZZ
297	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
298	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
299	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
300	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
301	99	DateLowe's Follow up Date...	ZZZ
302	99	FindingsFinal Findings of PIP Item...	ZZZ
303	99	zzz	zzz	ZZZ
304	99	Question #	Question	Score
305	99	PSA1.11	Do you utilize internal or external security officers on site, and if yes, are the post procedures documented, comprehensive, and current?	2
306	99	Comments	Security guards posted provides complete coverage and have good communication. Further the facility has clearly defined job responsibilities for security guards and relevant training was provided.	ZZZ
307	99	Recommendations	Nil	ZZZ
308	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
309	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
310	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
311	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
312	99	DateLowe's Follow up Date...	ZZZ
313	99	FindingsFinal Findings of PIP Item...	ZZZ
314	99	zzz	zzz	ZZZ
315	99	Question #	Question	Score
316	99	PSA1.12	Are personal belongings inspected upon ingress or egress to the facility to prevent the introduction or removal of unauthorized material? Note: Ingress = Coming In; Egress = Going Out	2
317	99	Comments	Facility has written procedure in place to conduct full inspection of all the employees and visitors at the time of entry and exit. Quality of the inspection was monitored regularly. Further the facility does not allow any personnel belongings inside the production, warehouse or other secured areas such as any container, lunch boxes, etc.	ZZZ
318	99	Recommendations	Nil	ZZZ
319	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
320	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
321	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
322	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
323	99	DateLowe's Follow up Date...	ZZZ
324	99	FindingsFinal Findings of PIP Item...	ZZZ
325	99	zzz	zzz	ZZZ
326	99	Question #	Question	Score
327	99	PSA1.13	Are controls in place to prevent unauthorized access to computer systems?	2
328	99	Comments	Facility had a documented procedure of Information Control. Firewalls (UTM) are utilized. According to the facilities IT policy, procedures and implementation all the users are assigned with individual user id and passwords in which passwords are changed once in a 30 days, further it was noted from the review of records that terminated and left employees access are removed and recorded accordingly.	ZZZ
329	99	Recommendations	Nil	ZZZ
330	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
331	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
332	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
333	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
334	99	DateLowe's Follow up Date...	ZZZ

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335	99	FindingsFinal Findings of PIP Item...	ZZZ
336	99		ZZZ	ZZZ
337	99	Question #	Question	Score
338	99	PSA1.14	Is after-hours security and lighting adequate?	2
339	99	Comments	Guards are placed both in operating hours and non-operating hours with defined duties. Adequate lighting is provided to have a clear view.	ZZZ
340	99	Recommendations	Nil	ZZZ
341	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
342	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
343	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
344	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
345	99	DateLowe's Follow up Date...	ZZZ
346	99	FindingsFinal Findings of PIP Item...	ZZZ
347	99		ZZZ	ZZZ
348	99	Question #	Question	Score
349	99	PSA1.15	Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion?	2
350	99	Comments	All the buildings in facility constructed by masonry wall with doors and windows of secured construction to protect against outside intrusion. Facility prevents access unless through normal egress or exit routes. Also facility provided internal doors to provide secondary limitation to intrusion.	ZZZ
351	99	Recommendations	Nil	ZZZ
352	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
353	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
354	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
355	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
356	99	DateLowe's Follow up Date...	ZZZ
357	99	FindingsFinal Findings of PIP Item...	ZZZ
358	0	ZZZ	ZZZ	ZZZ
359	0	ZZZ	ZZZ	ZZZ
360	0	Section #	Section Name	ZZZ
361	0	HR1	HUMAN RESOURCES	ZZZ
362	0	ZZZ	ZZZ	ZZZ
363	99	Question #	Question	Score
364	99	HR1.01	Are pre-employment back-ground checks conducted that include criminal checks and application verification to the fullest extent allowed by law? (May be country specific)	2
365	99	Comments	The facility has hiring procedure in place to check background verification to all the employees before hiring. Current address, Reference verification and past work history verification is conducted for the entire employee through company itself. Initial and periodical criminal back-ground verification is conducted for employees working in sensitive area like security, packing and loading.	ZZZ
366	99	Recommendations	Nil	ZZZ
367	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
368	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
369	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
370	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
371	99	DateLowe's Follow up Date...	ZZZ
372	99	FindingsFinal Findings of PIP Item...	ZZZ
373	99		ZZZ	ZZZ
374	99	Question #	Question	Score
375	99	HR1.02	Are the same back-ground checks required of temporary and contract personnel?	2
376	99	Comments	The facility has hiring procedure in place to check background verification to all the employees before hiring. Current address , Reference verification and past work history verification is conducted for the entire employee through company itself . Initial and periodical criminal back-ground verification is conducted for employees working in sensitive area like security, packing and loading on every 12 months once. Facility had not employed any contract employees, however as per the documented procedure, same protocol regarding background checks are followed for contract employees. All employees are screening by HR department. All these policy requirements for pre-employment screening are part of HR procedures.	ZZZ
377	99	Recommendations	Nil	ZZZ
378	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
379	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ

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380	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
381	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
382	99	DateLowe's Follow up Date...	ZZZ
383	99	FindingsFinal Findings of PIP Item...	ZZZ
384	0	ZZZ	ZZZ	ZZZ
385	0	Question #	Question	Score
386	0	HR1.03	Are employees (temporary and permanent) and contractors subject to drug testing as allowed by governing law?	0
387	0	Comments	Drug screening test is not conducted for any of the employee till date.	ZZZ
388	0	Recommendations	It is recommended the facility to conduct drug screening test to their employees.	ZZZ
389	0	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
390	0	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
391	0	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
392	0	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
393	0	DateLowe's Follow up Date...	ZZZ
394	0	FindingsFinal Findings of PIP Item...	ZZZ
395	99	ZZZ	ZZZ	ZZZ
396	99	Question #	Question	Score
397	99	HR1.04	Do all employees receive security training both during new employee orientation and on an ongoing basis that covers, unauthorized access, maintaining cargo integrity, and the recognition of internal conspiracies?	2
398	99	Comments	Facility conducts initial new employees orientation and ongoing training to all the employees which covers current threats, robbery and internal conspiracy. Specific training was provided to sensitive area employees on cargo and conveyance security and record of the same was maintained.	ZZZ
399	99	Recommendations	Nil	ZZZ
400	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
401	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
402	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
403	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
404	99	DateLowe's Follow up Date...	ZZZ
405	99	FindingsFinal Findings of PIP Item...	ZZZ
406	99	ZZZ	ZZZ	ZZZ
407	99	Question #	Question	Score
408	99	HR1.05	Is there a documented Code of Conduct, "Factory Rules" or other forms of employee conduct guidelines that address security?	2
409	99	Comments	The facility had conducted security awareness programme to all the employees based on their security criterias including code of conduct and work related guidelines and conducted threat awareness programme based on the latest threats. All training records are well maintained.	ZZZ
410	99	Recommendations	Nil	ZZZ
411	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
412	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
413	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
414	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
415	99	DateLowe's Follow up Date...	ZZZ
416	99	FindingsFinal Findings of PIP Item...	ZZZ
417	99	ZZZ	ZZZ	ZZZ
418	99	Question #	Question	Score
419	99	HR1.06	Are employees encouraged to and rewarded to report anomalies and wrongdoings?	2
420	99	Comments	The facility has a policy in place to reward employees who report anomalies and wrong doings and the same was communicated to all the employees at the time of induction and ongoing security awareness programme.	ZZZ
421	99	Recommendations	Nil	ZZZ
422	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
423	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
424	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
425	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
426	99	DateLowe's Follow up Date...	ZZZ
427	99	FindingsFinal Findings of PIP Item...	ZZZ
428	99	ZZZ	ZZZ	ZZZ

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429	99	Question #	Question	Score
430	99	HR1.07	Do employee personnel receive training in document fraud and computer security?	2
431	99	Comments	Document fraud and computer security training is provided for employees and is adequately documented. Last training was conducted on October 15, 2016.	ZZZ
432	99	Recommendations	Nil	ZZZ
433	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
434	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
435	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
436	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
437	99	DateLowe's Follow up Date...	ZZZ
438	99	FindingsFinal Findings of PIP Item...	ZZZ
439	99	zzz	zzz	ZZZ
440	99	Question #	Question	Score
441	99	HR1.08	Is there a process for handling terminated employees or contractors and preventing subsequent access to the premises & computers?	2
442	99	Comments	The facility has procedure and process in place to terminate the user id once the employee is left or terminated. Further, photo identity card of the terminated /left employees are taken back and detail is provided to security guards to ensure that access is not provided to terminated or left employees.	ZZZ
443	99	Recommendations	Nil	ZZZ
444	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
445	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
446	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
447	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
448	99	DateLowe's Follow up Date...	ZZZ
449	99	FindingsFinal Findings of PIP Item...	ZZZ
450	99	zzz	zzz	ZZZ
451	0	zzz	zzz	ZZZ
452	0	Section #	Section Name	Score
453	0	PS1	PROCEDURAL SECURITY	ZZZ
454	0	zzz	zzz	ZZZ
455	99	Question #	Question	Score
456	99	PS1.01	Are there written security procedures covering receiving and shipping operations to prevent cargo loss or the introduction of unauthorized or un-manifested material?	2
457	99	Comments	The facilities shipping and receiving personnel are well trained and has a adequate knowledge of manifest and material handling procedures and are sensitive to un-authorized or un-manifested materials which may intrude in to the supply chain from outside. Facility has process to record and report if any anomalies are found.	ZZZ
458	99	Recommendations	Nil	ZZZ
459	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
460	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
461	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
462	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
463	99	DateLowe's Follow up Date...	ZZZ
464	99	FindingsFinal Findings of PIP Item...	ZZZ
465	99	zzz	zzz	ZZZ
466	99	Question #	Question	Score
467	99	PS1.02	Are the shipping and receiving areas separate restricted-access areas with access limited to only those employees positively identified who work in the area?	2
468	99	Comments	Shipping and receiving areas were restricted to authorized employees only and positively identified by posted security guards. Proper monitoring is done at these areas manually and through CCTV camera. Further fences were used during shipping/receiving time. Visitors, personnels (who are not assigned) were logged and escorted.	ZZZ
469	99	Recommendations	Nil	ZZZ
470	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
471	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
472	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
473	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
474	99	DateLowe's Follow up Date...	ZZZ
475	99	FindingsFinal Findings of PIP Item...	ZZZ

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476	99	zzz	zzz	zzz
477	99	Question #	Question	Score
478	99	PS1.03	Are procedures in place to ensure unauthorized and unidentified persons are restricted and prevented access to the truck pad, trailer and container storage areas?	2
479	99	Comments	The facilities container loading area is guarded by security guard, monitored by CCTV camera and well illuminated.	zzz
480	99	Recommendations	Nil	zzz
481	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	zzz
482	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	zzz
483	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	zzz
484	99	PIP Follow up	...Lowe's PIP Follow up Notes...	zzz
485	99	DateLowe's Follow up Date...	zzz
486	99	FindingsFinal Findings of PIP Item...	zzz
487	99	zzz	zzz	zzz
488	99	Question #	Question	Score
489	99	PS1.04	Is access of personal vehicles and cars restricted and prevented from parking in the truck pad, shipping, receiving, and cargo areas?	2
490	99	Comments	Employees and visitors parking is located nearby to the entrance which is very far and prevented from the shipping and receiving cargo areas.	zzz
491	99	Recommendations	Nil	zzz
492	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	zzz
493	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	zzz
494	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	zzz
495	99	PIP Follow up	...Lowe's PIP Follow up Notes...	zzz
496	99	DateLowe's Follow up Date...	zzz
497	99	FindingsFinal Findings of PIP Item...	zzz
498	99	zzz	zzz	zzz
499	99	Question #	Question	Score
500	99	PS1.05	Is the loading/unloading of trucks and trailers supervised? If so, by whom?	2
501	99	Comments	The facility has assigned shipping and receiving incharges along with security guard to supervise loading and unloading process to check the manifest, reconciled to validate content of the conveyance and to record and report discrepancies. Checks also conducted by secondary supervisory personnel to audit quality, count and manifest integrity and records of audits are reviewed and retained.	zzz
502	99	Recommendations	Nil	zzz
503	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	zzz
504	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	zzz
505	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	zzz
506	99	PIP Follow up	...Lowe's PIP Follow up Notes...	zzz
507	99	DateLowe's Follow up Date...	zzz
508	99	FindingsFinal Findings of PIP Item...	zzz
509	99	zzz	zzz	zzz
510	99	Question #	Question	Score
511	99	PS1.06	Are incoming and outgoing vehicles, drivers, containers, trailers, and railcars verified and logged?	2
512	99	Comments	All the incoming and outgoing vehicle drivers driving license and conveyances are verified, logged and retained by the security guards.	zzz
513	99	Recommendations	Nil	zzz
514	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	zzz
515	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	zzz
516	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	zzz
517	99	PIP Follow up	...Lowe's PIP Follow up Notes...	zzz
518	99	DateLowe's Follow up Date...	zzz
519	99	FindingsFinal Findings of PIP Item...	zzz
520	99	zzz	zzz	zzz
521	99	Question #	Question	Score
522	99	PS1.07	Are the shipping and receiving docks and trailer/container storage yards monitored?	2
523	99	Comments	All the shipping and receiving areas are monitored by security guard and through CCTV cameras and maintains records for a more than 60 days.	zzz
524	99	Recommendations	Nil	zzz

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525	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
526	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
527	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
528	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
529	99	DateLowe's Follow up Date...	ZZZ
530	99	FindingsFinal Findings of PIP Item...	ZZZ
531	99	ZZZ	ZZZ	ZZZ
532	99	Question #	Question	Score
533	99	PS1.08	Are adequate records kept of incoming and outgoing goods?	2
534	99	Comments	Facility had maintained adequate shipping and receiving records. Inward material details with manifest details (Driver name / party name / vehicle number / Driver ID / material details / Quantity) are recorded in gate by security in inward register and container number / seal number/ vehicle number / driver license / diver name / were recorded in the shipment documents.	ZZZ
535	99	Recommendations	Nil	ZZZ
536	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
537	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
538	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
539	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
540	99	DateLowe's Follow up Date...	ZZZ
541	99	FindingsFinal Findings of PIP Item...	ZZZ
542	99	ZZZ	ZZZ	ZZZ
543	99	Question #	Question	Score
544	99	PS1.09	Is there a procedure for detecting and reporting shortages and overages in receiving?	2
545	99	Comments	Facility had a system to count the incoming and outgoing materials and the record of the same was well maintained.	ZZZ
546	99	Recommendations	Nil	ZZZ
547	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
548	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
549	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
550	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
551	99	DateLowe's Follow up Date...	ZZZ
552	99	FindingsFinal Findings of PIP Item...	ZZZ
553	99	ZZZ	ZZZ	ZZZ
554	99	Question #	Question	Score
555	99	PS1.10	Are finished products properly marked, counted, weighed (if necessary), documented, and reported on the manifest and bills of lading?	2
556	99	Comments	All the finished goods are properly marked, counted, weighed, documented and reported on the manifest and bills of lading. Facility has policy and personnel are clearly followed all procedures and well maintained all records which is found complete.	ZZZ
557	99	Recommendations	Nil	ZZZ
558	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
559	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
560	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
561	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
562	99	DateLowe's Follow up Date...	ZZZ
563	99	FindingsFinal Findings of PIP Item...	ZZZ
564	99	ZZZ	ZZZ	ZZZ
565	99	Question #	Question	Score
566	99	PS1.11	Is conveyance integrity maintained to prevent the introduction of unauthorized personnel or material into a container/trailer/railcar? Are containers sealed and or locked during unloading pauses and after loading and prior to departure so tampering would be evident?	2
567	99	Comments	Facility had maintained the conveyance integrity during the loading process and lock placed during loading pauses. Loading and loading pauses were monitored by security guards and CCTV camera also. Further the vendor selection is done based on security standard for conveyance. Further it was noted from the review of records, interaction with the facility management and security officer that containers are allowed to the loading area only after seven point check and loaded in a single stroke in front the security guard and sealed by Bolt seal which meets ISO/PAS 17712 standard.	ZZZ
568	99	Recommendations	Nil	ZZZ
569	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ

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570	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
571	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
572	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
573	99	DateLowe's Follow up Date...	ZZZ
574	99	FindingsFinal Findings of PIP Item...	ZZZ
575	99	ZZZ	ZZZ	ZZZ
576	99	Question #	Question	Score
577	99	PS1.12	Are all trailers/containers, etc. of solid walled construction and in good condition?	2
578	99	Comments	The facility has a procedure in place to check the integrity of the container through 7 point inspection check and only after 7 point check result is ok then only the container is allowed to enter the loading area. Facility has adequate security procedure for third party shipping providers.	ZZZ
579	99	Recommendations	Nil	ZZZ
580	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
581	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
582	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
583	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
584	99	DateLowe's Follow up Date...	ZZZ
585	99	FindingsFinal Findings of PIP Item...	ZZZ
586	99	ZZZ	ZZZ	ZZZ
587	99	Question #	Question	Score
588	99	PS1.13	Are written procedures in place to verify the physical integrity of the container or trailer structure prior to stuffing, including the reliability of the locking mechanisms of the doors as required on Lowe's C-TPAT 7 point inspection?	2
589	99	Comments	According to the facility management shipping in-charge will conduct 7 point inspection of container prior to approve the container for load. Further the facility has recorded and maintained records according to lowe's procedure.	ZZZ
590	99	Recommendations	Nil	ZZZ
591	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
592	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
593	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
594	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
595	99	DateLowe's Follow up Date...	ZZZ
596	99	FindingsFinal Findings of PIP Item...	ZZZ
597	99	ZZZ	ZZZ	ZZZ
598	99	Question #	Question	Score
599	99	PS1.14	Are seal numbers recorded on the shipping documents and records kept? Is shipper utilizing Lowe's approved seals? ISO PAS 17712 or better?	2
600	99	Comments	Facility use high security bolt seal (liner seal and custom seal) to seal the container as per Lowes standard. Seal meets the ISO PASS 17712 standard. Records of the seals are maintained. Seal number affixed was recorded in the shipping documents. Further seal handling procedures are evident, well maintained and retained.	ZZZ
601	99	Recommendations	Nil	ZZZ
602	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
603	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
604	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
605	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
606	99	DateLowe's Follow up Date...	ZZZ
607	99	FindingsFinal Findings of PIP Item...	ZZZ
608	99	ZZZ	ZZZ	ZZZ
609	99	Question #	Question	Score
610	99	PS1.15	Are seals kept under lock and key to prevent unauthorized access?	2
611	99	Comments	The facility does not store any seals, only the CHA carrier and custom seal has the seal who brings only at the time of loading and seal the container once the loading is completed.	ZZZ
612	99	Recommendations	Nil	ZZZ
613	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
614	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
615	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
616	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
617	99	DateLowe's Follow up Date...	ZZZ

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618	99	FindingsFinal Findings of PIP Item...	ZZZ
619	99	zzz	zzz	ZZZ
620	99	Question #	Question	Score
621	99	PS1.16	Are there anti-pilferage measures in place (packaging/wrapping) on finished goods?	2
622	99	Comments	Facility has adequate procedure in place that do not exceed load regulations which is communicated to all employees. Work instruction is in place which is communicated to all the packing employees and audits were conducted to verify compliance with Management oversight to increase cargo security at all times.	ZZZ
623	99	Recommendations	Nil	ZZZ
624	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
625	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
626	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
627	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
628	99	DateLowe's Follow up Date...	ZZZ
629	99	FindingsFinal Findings of PIP Item...	ZZZ
630	99	zzz	zzz	ZZZ
631	99	Question #	Question	Score
632	99	PS1.17	Are procedures in place to ensure that Bills of Lading are complete, legible, accurate, and submitted to Carrier in a timely manner?	2
633	99	Comments	The facility had prepared all the necessary shipment documents which is legible, accurate and submitted to the carrier in a timely manner and retained all the copies of the shipment documents at their respective files for last 5 years. Facility has written documented procedure for these shipping process.	ZZZ
634	99	Recommendations	Nil	ZZZ
635	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
636	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
637	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
638	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
639	99	DateLowe's Follow up Date...	ZZZ
640	99	FindingsFinal Findings of PIP Item...	ZZZ
641	99	zzz	zzz	ZZZ
642	99	Question #	Question	Score
643	99	PS1.18	Are international, domestic, high-value, and dangerous goods properly segregated with access restricted to need and properly marked?	2
644	99	Comments	All the finished goods are properly marked, segregated with access restricted to need, further it was noted that the facility does not involves in high-value and dangerous cargo shipment made. Facility involves on the shipment of international markets only. Facility had retained atleast last 5 years documents for all shipment.	ZZZ
645	99	Recommendations	Nil	ZZZ
646	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
647	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
648	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
649	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
650	99	DateLowe's Follow up Date...	ZZZ
651	99	FindingsFinal Findings of PIP Item...	ZZZ
652	0	zzz	zzz	ZZZ
653	0	zzz	zzz	ZZZ
654	0	Section #	Section Name	ZZZ
655	0	HRC	High Risk Countries - Additional Audit Questions	ZZZ
656	0	zzz	zzz	ZZZ
657	99	Question #	Question	Score
658	99	HRC01.01	Do CCTV cameras cover all internal dock doors, windows, office area, and warehouse activities and are connected to a 24-7-365 emergency response?	2
659	99	Comments	The facility is equipped with CCTV camera monitoring system during operating & non-operating hours (24X7X365) and has a recording of more than 60 days.	ZZZ
660	99	Recommendations	Nil	ZZZ
661	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
662	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
663	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
664	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ

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665	99	DateLowe's Follow up Date...	ZZZ
666	99	FindingsFinal Findings of PIP Item...	ZZZ
667	99	ZZZ	ZZZ	ZZZ
668	99	Question #	Question	Score
669	99	HRC01.02	Do security personnel perform daily inspection of the perimeter fence and walls to check for damages, attempted illegal access or to check if repairs are needed?	2
670	99	Comments	Security Guard checks perimeter, lightings and access points on monthly basis and repairs conducted when damages are detected.	ZZZ
671	99	Recommendations	Nil	ZZZ
672	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
673	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
674	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
675	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
676	99	DateLowe's Follow up Date...	ZZZ
677	99	FindingsFinal Findings of PIP Item...	ZZZ
678	99	ZZZ	ZZZ	ZZZ
679	99	Question #	Question	Score
680	99	HRC01.03	Are underground access points such as culverts, drains, and utility tunnels secured to prevent unauthorized facility access?	2
681	99	Comments	The facilities drains are capable to resist unlawful entry and cannot be easily penetrated, further the facility does not have underground access points, culverts and utility tunnels.	ZZZ
682	99	Recommendations	Nil	ZZZ
683	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
684	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
685	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
686	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
687	99	DateLowe's Follow up Date...	ZZZ
688	99	FindingsFinal Findings of PIP Item...	ZZZ
689	99	ZZZ	ZZZ	ZZZ
690	99	Question #	Question	Score
691	99	HRC01.04	Does facility have written key control program that establishes responsibility to maintain control of all keys and access cards?	2
692	99	Comments	The facility has a adequate key control programme. Only the authorised persons are allowed to collect the key at the time of opening the facility and handover the key at the time closing the facility with date, time and signatures in the key register maintained by the Security guards.	ZZZ
693	99	Recommendations	Nil	ZZZ
694	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
695	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
696	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
697	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
698	99	DateLowe's Follow up Date...	ZZZ
699	99	FindingsFinal Findings of PIP Item...	ZZZ
700	99	ZZZ	ZZZ	ZZZ
701	99	Question #	Question	Score
702	99	HRC01.05	Do gate Security guards maintain outbound vehicle log that captures out-gate date and time, driver's name and license number, container/trailer number, high security seal number, and shipment destination?	2
703	99	Comments	Inward and outward records all maintained for all incoming material, outgoing materials and shipment. Log book with all required details are well maintained by security guards and it's verified by security supervisor regularly.	ZZZ
704	99	Recommendations	Nil	ZZZ
705	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
706	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
707	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
708	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
709	99	DateLowe's Follow up Date...	ZZZ
710	99	FindingsFinal Findings of PIP Item...	ZZZ
711	99	ZZZ	ZZZ	ZZZ
712	99	Question #	Question	Score
713	99	HRC01.06	Does facility monitor highway carriers travel time from factory to port? Do highway carriers have tracking devices in their truck (i.e. Satellite, GPS, etc.)?	2

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714	99	Comments	The facility is not equipped with Global Positioning Satellite (GPS) to track the driver, however the facility records the time and track the drivers through mobile phones.	ZZZ
715	99	Recommendations	Nil	ZZZ
716	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
717	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
718	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
719	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
720	99	DateLowe's Follow up Date...	ZZZ
721	99	FindingsFinal Findings of PIP Item...	ZZZ
722	99	zzz	zzz	ZZZ
723	99	Question #	Question	Score
724	99	HRC01.07	Are predetermined routes identified? Do drivers notify their dispatcher of any route delay due to weather, traffic, or rerouting?	2
725	99	Comments	Predetermined routes are identified and drivers are required to call their dispatcher to advice of any kind of delays.	ZZZ
726	99	Recommendations	Nil	ZZZ
727	99	Factory Corrective Action Plan	...Factory to Input Corrective action plan here...	ZZZ
728	99	Completion Date (MM/DD/YYYY)	...Factory Planned corrective action plan date...	ZZZ
729	99	Supportive Evidence of Implemented Action Plan	..Insert Supportive Evidence Here...	ZZZ
730	99	PIP Follow up	...Lowe's PIP Follow up Notes...	ZZZ
731	99	DateLowe's Follow up Date...	ZZZ
732	99	FindingsFinal Findings of PIP Item...	ZZZ
733	0	zzz	End Of Report.....	ZZZ

CTPAT Audit Workbook Instructions

Audit Info	Desk Audit Conducted? (Yes/No)	Score	Status
Initial Audit	Yes	99%	Acceptable
Desk Audit	No	NA	NA
On-Site Re-Audit (If Applicable)	No	NA	NA

CTPAT AUDIT RE-SCORING After Desk Audit				
Section #	Section Name	Initial Score	Desk Audit	On-Site Re-Audit (If Applicable)
MND01	Mandatory Requirements			
Question #	Question	Points		
MND1.01	controls or natural barriers)?	2		
MND1.02	outside intrusion?	2		
MND1.03	after business hours?	2		
MND1.04	or material into a container/trailer/railcar? Are containers sealed and or locked during	2		
MND1.05	and prevented access to the truck pad, trailer and container storage areas?	2		
MND1.06	unauthorized access and all vehicles and containers logged in and out accordingly?	2		
Totals		50		
Section #	Section Name			
SMS1	SECURITY MANAGEMENT SYSTEM			
Question #	Question	Points		
SMS1.01	company? Please provide contact information.	2		
SMS1.02	security practices and review the introduction and removal of cargo in the receiving and	2		
SMS1.03	Is there a supervisor responsible for overseeing the shipping process?	2		
SMS1.04	Is there a supervisor responsible for overseeing the receiving process?	2		
SMS1.05	controls, personnel security, education and awareness, manifest and conveyance	2		
SMS1.06	and to report them on a timely basis to law enforcement officials and security personnel?	2		
SMS1.07	Are periodic internal/reviews conducted of all security operations at least annually?	2		
SMS1.08	yes, review the plan	2		
SMS1.09	minimum security requirements that include all CTPAT requirements?	2		
Totals		18		
Section #	Section Name			
PSA1	PHYSICAL SECURITY & ACCESS CONTROLS			
Question #	Question	Points		
PSA1.01	controls or natural barriers)?	2		
PSA1.02	unauthorized access and all vehicles and containers logged in and out accordingly?	2		
PSA1.03	Is the facility equipped with adequate security warning signage?	2		
PSA1.04	identification or other means?	2		
PSA1.05	Is driver access to the interior of the facility limited to a secure, segregated waiting area?	2		
PSA1.06	conveyances?	2		
PSA1.07	other means?	2		
PSA1.08	Are visitors/contractors logged in, issued a badge, and escorted?	2		
PSA1.09	Is adequate lighting provided inside and outside the facility to include parking areas?	2		
PSA1.10	after business hours?	2		
PSA1.11	procedures documented, comprehensive, and current?	2		
PSA1.12	introduction or removal of unauthorized material?	2		
PSA1.13	Are controls in place to prevent unauthorized access to computer systems?	2		
PSA1.14	Is after-hours security and lighting adequate?	2		
PSA1.15	outside intrusion?	2		
Totals		30		
Section #	Section Name			
HR1	HUMAN RESOURCES (PERSONNEL SECURITY &			
Question #	Question	Points		
HR1.01	application verification to the fullest extent allowed by law? (May be country specific)	2		
HR1.02	Are the same back-ground checks required of temporary and contract personnel?	2		
HR1.03	allowed by governing law?	0		
HR1.04	an ongoing basis that covers, unauthorized access, maintaining cargo integrity, and the	2		
HR1.05	conduct guidelines that address security?	2		
HR1.06	Are employees encouraged to and rewarded to report anomalies and wrongdoings?	2		
HR1.07	Do employee personnel receive training in document fraud and computer security?	2		
HR1.08	subsequent access to the premises & computers?	2		
Totals		14		
Section #	Section Name			
PS1	PROCEDURAL SECURITY (RECEIVING AND SHIPPING			
Question #	Question	Points		
PS1.01	prevent cargo loss or the introduction of unauthorized or un-manifested material?	2		
PS1.02	limited to only those employees positively identified who work in the area?	2		
PS1.03	and prevented access to the truck pad, trailer and container storage areas?	2		
PS1.04	truck pad, shipping, receiving, and cargo areas?	2		
PS1.05	Is the loading/unloading of trucks and trailers supervised? If so, by whom?	2		
PS1.06	logged?	2		
PS1.07	CCTV and recorded?	2		
PS1.08	Are adequate records kept of incoming and outgoing goods?	2		
PS1.09	Is there a procedure for detecting and reporting shortages and overages in receiving?	2		
PS1.10	and reported on the manifest and bills of lading?	2		
PS1.11	or material into a container/trailer/railcar? Are containers sealed and or locked during	2		
PS1.12	Are all trailers/containers, etc. of solid walled construction and in good condition?	2		
PS1.13	structure prior to stuffing, including the reliability of the locking mechanisms of the doors	2		
PS1.14	utilizing Lowe's approved seals? ISO PAS 17712 or better?	2		
PS1.15	Are seals kept under lock and key to prevent unauthorized access?	2		
PS1.16	Are there anti-pilferage measures in place (packaging/wrapping) on finished goods?	2		
PS1.17	and submitted to Carrier in a timely manner?	2		
PS1.18	access restricted to need and properly marked?	2		
Totals		36		
Section #	Section Name			
HRC1	High Risk Countries - Additional Audit Questions			
Indicator	Is this factory located in a high risk country?	Yes		
Question #	Question	Points		
HRC01.01	activities and are connected to a 24-7-365 emergency response?	2		
HRC01.02	for damages, attempted illegal access or to check if repairs are needed?	2		
HRC01.03	prevent unauthorized facility access? Note - Not all facilities would have underground	2		

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HRC01.04	control of all keys and access cards?	2		
HRC01.05	time, driver's name and license number, container/trailer number, high security seal	2		
HRC01.06	carriers have tracking devices in their truck (i.e. Satellite, GPS, etc.)?	2		
HRC01.07	due to weather, traffic, or rerouting?	2		
Totals		50		