

## C-TPAT SECURITY QUESTIONNAIRE

COMPANY NAME:			
STREET ADDRESS:			
CITY:	STATE:	POSTAL CODE:	
COUNTRY:	OTHER:		

NAME OF PERSON COMPLETING FORM:	
TITLE:	TELEPHONE:
E-MAIL:	

IS YOUR COMPANY CURRENTLY C-TPAT CERTIFIED? <input type="checkbox"/> YES <input type="checkbox"/> NO
IF YES, INITIATE AN SVI MONITORING REQUEST BY DOING THE FOLLOWING: 1) Log in to your C-TPAT Portal account, 2) Select the "Status Verification" link, 3) Select the "Request Monitoring" tab, 4) Enter our company's name in the search box (you must enter at least 3 characters) 5) Our company name will in the list that appears, 6) Click the "Select Box" next to our company name.

HAS YOUR COMPANY STARTED THE PROCESS OF BECOMING C-TPAT CERTIFIED? <input type="checkbox"/> YES <input type="checkbox"/> NO
<b>IF YES, HAVE YOU:</b>
MADE AN ANALYSIS OF YOUR EXISTING SECURITY CRITERIA AND PROCEDURES? <input type="checkbox"/> YES <input type="checkbox"/> NO
SUBMITTED THE ON-LINE BUSINESS PROFILE ON THE C-TPAT WEB PORTAL? <input type="checkbox"/> YES <input type="checkbox"/> NO
STARTED THE PROCESS OF COMPLETING THE ON-LINE SECURITY PROFILE ON THE C-TPAT WEB PORTAL? <input type="checkbox"/> YES <input type="checkbox"/> NO
SUBMITTED THE ON-LINE SECURITY PROFILE ON THE C-TPAT WEB PORTAL? <input type="checkbox"/> YES <input type="checkbox"/> NO

DOES YOUR COMPANY PARTICIPATE IN ANY GOVERNMENT SPONSORED SUPPLY CHAIN SECURITY PROGRAMS? INDICATED BELOW BY SELECTING APPROPRIATE CHECKBOX.
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- **EXPORT SCHEME PROGRAM (NEW ZEALAND)?**
- **PARTNERS IN PROTECTION (CANADA)?**
- **GOLDEN LIST PROGRAM (JORDAN)?**
- **AUTHORIZED ECONOMIC OPERATOR (JAPAN)?**
- **AUTHORIZED ECONOMIC OPERATOR (KOREA)?**
- **AUTHORIZED ECONOMIC OPERATOR (EUROPEAN UNION)?**
- **AUTHORIZED ECONOMIC OPERATOR (TAIWAN)?**
- **AUTHORIZED ECONOMIC OPERATOR (ISRAEL)?**
- **OEA (AUTHORIZED ECONOMIC OPERATOR (MEXICO))**
- **SECURE TRADE PARTNERSHIP (SINGAPORE)**
- **AUTHORIZED ECONOMIC OPERATOR (DOMINICAN REPUBLIC)?**
- **AUTHORIZED ECONOMIC OPERATOR (PERU)?**

OTHER:  
NO, WE DO NOT PARTICIPATE IN ANY OF THESE PROGRAMS:

**IF YOU ANSWERED YES, PLEASE PROVIDE COPIES OF ALL CERTIFICATES AND PERTINENT DOCUMENTS AND DO NOT COMPLETE THE REMAINDER OF THIS SECURITY QUESTIONNAIRE.**

\_\_\_\_\_  
NAME OF PERSON COMPLETING THIS QUESTIONNAIRE \_\_\_\_\_  
DATE

## I. PHYSICAL ACCESS CONTROL

QUESTION		CORRECTIVE ACTION PLAN & TARGET DATE	CORRECTIVE ACTION COMPLETED & DATE
1) DOES ACCESS CONTROL INCLUDE POSITIVE IDENTIFICATION OF ALL EMPLOYEES, VISITORS, AND VENDORS AT ALL POINTS OF ENTRY?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) IS THE ISSUANCE AND REMOVAL OF EMPLOYEE, VISITOR, AND VISITOR BADGES ADEQUATELY CONTROLLED?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
3) ARE VISITORS AND VENDORS REQUIRED TO PRESENT PHOTO IDENTIFICATION FOR DOCUMENTATION PURPOSES UPON ARRIVAL?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
4) ARE VISITORS ESCORTED AND REQUIRED TO VISIBLY DISPLAY TEMPORARY IDENTIFICATION?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) ARE PROCEDURES IN PLACE ON HOW TO PROCEED IN CHALLENGING UNAUTHORIZED PERSONS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6) ARE THERE PROCEDURES FOR ISSUING, REMOVING, AND CHANGING ACCESS DEVICES (E.G. KEY CARDS, ETC.)?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
7) ARE EMPLOYEES ONLY GIVEN ACCESS TO THOSE SECURE AREAS NEEDED TO PROVIDE THEIR DUTIES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

## II. PHYSICAL SECURITY

1) IS PERIMETER FENCING REGULARLY INSPECTED FOR INTEGRITY AND DAMAGE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) DOES THE FACILITY HAVE SECURITY GUARDS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2A) IF YES, ARE THE SECURITY GUARDS UNIFORMED?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2B) HOW MANY GUARDS ARE ASSIGNED TO EACH SHIFT?		N/A <input type="checkbox"/>	
2C) ARE THE SECURITY GUARDS CONTRACTED OR EMPLOYED?		N/A <input type="checkbox"/>	
2D) IF CONTRACTED, PROVIDE THE COMPANY NAME AND PRIMARY CONTACT PERSON.		N/A <input type="checkbox"/>	
3) IS THE BUILDING CONSTRUCTED WITH STURDY MATERIALS TO RESIST UNLAWFUL ENTRY AND IS THE INTEGRITY OF THE STRUCTURE MAINTAINED BY PERIODIC INSPECTION AND REPAIR?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

QUESTION		CORRECTIVE ACTION PLAN & TARGET DATE	CORRECTIVE ACTION COMPLETED & DATE
4) ARE THE GATES IN WHICH VEHICLES AND/OR PERSONNEL ENTER/EXIT MANNED AND/OR MONITORED?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) DOES THE FACILITY HAVE ADEQUATE LIGHTING INSIDE AND OUTSIDE INCLUDING, ENTRANCES AND EXITS, CARGO HANDLING AND STORAGE AREAS, FENCE LINES AND PARKING AREAS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6) DOES THE FACILITY HAVE A 24/7 MONITORED ALARM SYSTEM?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6A) IF YES, WHAT IS THE NAME OF THE ALARM COMPANY?			
7) DOES THE FACILITY HAVE VIDEO SURVEILLANCE CAMERAS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
7A) IF YES, WHAT AREAS ARE MONITORED BY THE CAMERAS?	<input type="checkbox"/> GATES <input type="checkbox"/> CARGO LOADING (INTERIOR) <input type="checkbox"/> FENCE LINES <input type="checkbox"/> CARGO LOADING (EXTERIOR) <input type="checkbox"/> PARKING LOT <input type="checkbox"/> WAREHOUSE <input type="checkbox"/> TRACTOR/TRAILER/CONTAINER STORAGE		
8) DOES MANAGEMENT OR SECURITY CONTROL THE ISSUANCE OF KEYS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
8A) NAME & TITLE OF PERSON WHO ISSUES KEYS:			

### III. CONTAINER INSPECTION & SECURITY

1) PRIOR TO STUFFING, ARE THERE CONTAINER INSPECTION PROCEDURES TO VERIFY THE PHYSICAL INTEGRITY OF THE CONTAINER AND LOCKING MECHANISMS OF THE DOORS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) IS AN 8-POINT INSPECTION CHECKLIST USED TO DOCUMENT CONTAINER/TRAILER INSPECTIONS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2A) ARE PALLETS, REUSEABLE PACKAGING MATERIALS AND THE CONTAINER/TRAILER CHECKED FOR CLEANLINESS, DEBRIS, WEEDS, SEEDS, PESTS, PEST DROPPINGS OR ANY FOREIGN MATERIALS THAT COULD TRANSFER BACTERIA OR DISEASES RO THE US?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

QUESTION		CORRECTIVE ACTION PLAN & TARGET DATE	CORRECTIVE ACTION COMPLETED & DATE
3) FOR FOREIGN LOADING SITES, IS THE 8-POINT CONTAINER CHECKLIST TRANSMITTED TO THE US DESTINATION WHERE THE CARGO WILL BE UNLOADED?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
4) FOR FOREIGN LOCATIONS, ARE DIGITAL PHOTOS TAKEN OF THE LOADING PROCESS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) ARE EMPTY OR FULL CONTAINERS STORED IN A SECURE AREA TO PREVENT UNAUTHORIZED ACCESS AND/OR MANIPULATION?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6) ARE PROCEDURES IN PLACE FOR REPORTING AND NEUTRALIZING UNAUTHORIZED ENTRY INTO CONTAINER STORAGE AREAS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

#### IV. SEAL SECURITY

1) ARE THERE WRITTEN PROCEDURES IN PLACE TO SPECIFY HOW TO AFFIX SEALS TO MAINTAIN CONTAINERS INTEGRITY?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) DO THE WRITTEN PROCEDURES INCLUDE RECOGNIZING AND REPORTING COMPROMISED OR MISMATCHED SEALS TO APPROPRIATE AUTHORITIES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
3) ARE ALL HIGH SECURITY SEALS THAT MEET OR EXCEED THE MOST RECENT ISO PAS 17712 STANDARDS AFFIXED TO ALL CONTAINERS BOUND FOR THE US?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
4) FOR SEALS MEETING THE ISO STANDARDS, ARE THERE COPIES OF THE LAB CERTIFICATION WITH THE TEST REPORT?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) IS THE INVENTORY OF HIGH SECURITY SEALS MAINTAINED IN A SECURE MANNER TO IDENTIFY AND CONTROL THE ISSUANCE OF SEALS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6) IS A SEAL LOG USED TO AND TRACK & CONTROL HIGH SECURITY SEAL SEALS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
7) ARE ONLY DESIGNATED EMPLOYEES ALLOWED TO DISTRIBUTE AND MAINTAIN CONTAINER SEALS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
8) IS THE SEAL NUMBER VERIFIED & DOCUMENTED PRIOR TO AFFIXING THE SEAL TO THE CONTAINER?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
9) ARE CUT SEALS DISPOSED OF IN A SECURE MANNER?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

**V. CONVEYANCE / DRAYAGE SECURITY**

QUESTION		CORRECTIVE ACTION PLAN & TARGET DATE	CORRECTIVE ACTION COMPLETED & DATE
1) ARE TRUCKING COMPANYS & OWNER OPERATORS SCREENED BEFORE BEING ALLOWED TO TRANSPORT CARGO?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) PRIOR TO ACCEPTING OR RELEASING CARGO, ARE THERE PROCEDURES IN PLACE TO POSITIVELY IDENTIFY THE DRIVER OF THE TRUCKING COMPANY?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
3) IS A LOG SHEET USED TO DOCUMENT DRIVER ID, DRIVER NAME, TRUCKING COMPANY NAME, DATE, TIME, CONTAINER NUMBER, SEAL NUMBER, ETC.?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
4) ARE THE HIGHWAY CARRIER'S CONTRACTED?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) ARE THE HIGHWAY CARRIER'S ALLOWED TO SUB-CONTRACT?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5A) IF SO, ARE THE CARRIER'S REQUIRED TO NOTIFY YOUR COMPANY?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6) ARE TRUCKERS/CARRIERS BEING DILIGENT IN PHYSICALLY INSPECTING ALL ACCESSIBLE AREAS, INTERNAL/EXTERNAL COMPARTMENTS AND PANELS, OF THE TRANSPORT VEHICLE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
7) ARE INSPECTIONS OF THE TRACTORS CONDUCTED (INCLUDING PASSENGER COMPARTMENT AND SLEEPING AREA)?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
8) ARE WRITTEN PROCEDURES IN PLACE FOR REPORTING INCIDENTS WHERE UNAUTHORIZED PERSONS, UNMANIFESTED CARGO, OR SIGNS OF TAMPERING OF A CONVEYANCE ARE DISCOVERED?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
9) TO DEFEND AGAINST THE INTRODUCTION OF FOREIGN MATTER OR THEFT, ARE VEHICLES LOCKED OR OTHERWISE FULLY SECURED?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
10) ARE THERE DISPATCH LOGS TO TRACK THE EXITING OF CONTAINERS & TRANSPORT VEHICLES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
10A) IF SO, DOES MANAGEMENT CHECK AND REVIEW THE DISPATCH LOGS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
10B) IF YES, HOW OFTEN ARE THE LOGS REVIEWED & BY WHO?	REVIEWED BY: _____ DAILY <input type="checkbox"/> WEEKLY <input type="checkbox"/> BI-WEEKLY <input type="checkbox"/> MONTHLY <input type="checkbox"/>		

QUESTION		CORRECTIVE ACTION PLAN & TARGET DATE	CORRECTIVE ACTION COMPLETED & DATE
11) ARE TRANSPORT VEHICLES INSPECTED UPON ENTERING AND EXITING FACILITY WITH THE USE OF A DETAILED INSPECTION CHECKLIST TO IDENTIFY ANY MODIFICATIONS OR DAMAGES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
12) ARE LOCKS AND SEALS USED TO SECURE CONVEYANCE OF CARGO?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
13) FOR TRACKING PURPOSES, IS THERE A COMMUNICATION LINK WITH THE DRIVER? (I.E. RADIO, CELLULAR PHONE, OR EQUIVALENT)?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
14) ARE DRIVERS REQUIRED TO DRIVE KNOWN ROUTES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
15) ARE ROUTES SELECTED BY SOMEONE OTHER THAN THE DRIVER (MANAGEMENT, ETC.)?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
16) IS THE DRIVER GIVEN THE ASSIGNED ROUTE IMMEDIATELY BEFORE DEPARTURE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
17) ARE DRIVERS REQUIRED TO REPORT ROUTE CHANGES AND DELAYS WHILE ENROUTE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
17A) IF YES, TO WHOM DO THEY REPORT THE DELAY/ROUTE CHANGE AND BY WHAT MEANS?	NAME OF PERSON: _____  CELL PHONE <input type="checkbox"/> RADIO <input type="checkbox"/> GPS LINK <input type="checkbox"/> OTHER <input type="checkbox"/>		

**VI. PROCEDURAL SECURITY**

1) ARE SECURITY MEASURES IN PLACE TO ENSURE THE INTEGRITY AND SECURITY OF PROCESSES RELEVANT TO THE TRANSPORTATION, HANDLING AND STORAGE OF CARGO IN THE SUPPLY CHAIN?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) ARE PROCEDURES IN PLACE TO ENSURE THAT ALL INFORMATION USED IN THE CLEARING OF MERCHANDISE IS LEGIBLE, ACCURATE, COMPLETE, AND VERIFIED TO PROTECT AGAINST THE EXCHANGE OR LOSS OF INFORMATION?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
3) DOES CARGO ACCURATELY GIVE THE DESCRIPTION, WEIGHT, LABELS, MARKS AND PIECE COUNT AS VERIFIED AGAINST THE CARGO MANIFEST DELIVERY OR PURCHASE ORDER?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

QUESTION		CORRECTIVE ACTION PLAN & TARGET DATE	CORRECTIVE ACTION COMPLETED & DATE
4) ARE SHORTAGES, OVERAGES, AND OTHER SIGNIFICANT DISCREPANCIES RESOLVED OR INVESTIGATED?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) HOW DOES YOUR COMPANY HANDLE PACKAGING THAT APPEARS TO HAVE BEEN TAMPERED WITH?			
6) DOES YOUR COMPANY USE ANY TAMPERED EVIDENT PACKAGING?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
7) WHEN ILLEGAL OR SUSPICIOUS ACTIVITIES ARE DETECTED, ARE CUSTOMS AND/OR OTHER APPROPRIATE LAW ENFORCEMENT AGENCIES NOTIFIED?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

**VII. PERSONNEL SECURITY**

1) ARE WRITTEN HIRING PROCEDURES IN PLACE??	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) ARE STAFFING AGENCIES USED FOR AVAILABLE TEMPORARY POSITIONS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
3) PRIOR TO EMPLOYMENT, DOES MANAGEMENT VERIFY APPLICATION INFORMATION, SUCH AS EMPLOY HISTORY, AND REFERENCES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
4) ARE BACKGROUND CHECKS CONDUCTED, PRIOR TO EMPLOYMENT?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) ARE DRUG TESTS CONDUCTED, PRIOR TO EMPLOYMENT?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6) ARE EMPLOYEES REQUIRED TO SIGN A CODE OF CONDUCT?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
7) ARE EMPLOYEES REQUIRED TO SIGN A CODE OF CONDUCT THAT ADDRESSES COMPUTER SECURITY?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
8) ARE EMPLOYEES ISSUED PHOTO ID BADGES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

8A) IF SO, ARE EMPLOYEES REQUIRED TO WEAR BADGES IN PLAIN SIGHT AT ALL TIMES WHEN ON COMPANY PREMISES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
8B) IS THE BADGE ISSUANCE DATE NOTATED ON/IN THE EMPLOYEE'S FILE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
9) DURING EMPLOYMENT, DOES YOUR COMPANY RESERVE THE RIGHT TO CONDUCT PERIODIC CHECKS AND REINVESTIGATIONS BASED ON CAUSE, AND/OR THE SENSITIVITY OF THE EMPLOYEE'S POSITIO	YES <input type="checkbox"/> NO <input type="checkbox"/>		
10) ARE PROCEDURES IN PLACE TO REMOVE IDENTIFICATION, FACILITY, AND SYSTEM ACCESS CODES FOR TERMINATED EMPLOYEES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
11) ARE NEW HIRES INTRODUCED TO THE COMPANY'S C-TPAT PROGRAM?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
12) ARE NEW HIRES REQUIRED TO COMPLETE A C-TPAT TRAINING COURSE, INCLUDING A WEITTEN TEST TO MEASURE COMPREHENSION?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

### VIII. SECURITY TRAINING AND THREAT AWARENESS

1) DO EMPLOYEES RECEIVE TRAINING ON HOW TO RECOGNIZE AND REPORT THREATS TERRORISTS POSE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) HAVE ALL EMPLOYEES RECEIVED TRAINING ON HOW TO RECOGNIZE AND DEFEND AGAINST TERRORIST THREATS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
3) ARE DESIGNATED EMPLOYEES REQUIRED TO COMPLETE INITIAL SUPPLY CHAIN SECURITY TRAINING AND REFRESHER TRAINING AT LEAST ANNUALLY(CHECK ALL THAT APPLY)?	THREAT AWARENESS <input type="checkbox"/> TRIGGERS FOR ADDITIONAL SCRUTINY <input type="checkbox"/> BUSINESS PARTNER SECURITY <input type="checkbox"/> IT SCURITY <input type="checkbox"/> RISK ASSESSMENT <input type="checkbox"/> FACILITY/PHYSICAL ACCESS SECURITY <input type="checkbox"/> OPERATIONS & DESP PROCEDURES <input type="checkbox"/> CONTAINER SEALING <input type="checkbox"/> CONTAINER SECURITY <input type="checkbox"/> CONVEYANCE SECURITY <input type="checkbox"/> REPORTING PROCEDURES <input type="checkbox"/> WAREHOUSE SECURITY <input type="checkbox"/>  OTHER (DESCRIBE): _____		
4) ARE WRITTEN TESTS USED TO ENSURE COMPREHENSION?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) IS A TRAINING LOG USED TO DOCUMENT TRAINING?	YES <input type="checkbox"/> NO <input type="checkbox"/>		



**IX. INFORMATION TECHNOLOGY (IT) SECURITY**

QUESTION		CORRECTIVE ACTION PLAN & TARGET DATE	CORRECTIVE ACTION COMPLETED & DATE
1) DO AUTOMATIC SYSTEMS REQUIRE USERS TO PERIODICLY CHANGE NETWORK PASSWORDS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) ARE INDIVIDUAL USERS ASSIGNED A UNIQUE NETWORK ACCOUNT?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
3) ARE USERS REQUIRED TO SELECT THEIR OWN PASSWORDS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
4) DO COMPUTER USERS RECEIVE TRAINING IN IT/COMPUTER SECURITY?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) DO COMPUTER USERS RECEIVE TRAINING IN CYBER SECURITY?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6) DOES THE COMPUTER OR SYSTEM, AUTOMATICALLY LOCK OR TURN OFF WHEN INCORRECT PASSWORDS ARE ENTERED MULTIPLE TIMES?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6A) DESCRIBE THE PROCESS FOR RESTORING USER ACCESS WHEN THE COMPUTER LOCKS DUE TO MULTIPLE FAILED LOG-IN ATTEMPTS			
7) IS THE COMPUTER SET SO THAT IT WILL AUTOMATICALLY LOCK OR TURN OFF WHEN THERE IS NO ACTIVITY FOR A PERIOD OF TIME?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
7A) DESCRIBE THE PROCESS FOR RESTORING USER ACCESS WHEN THE COMPUTER LOCKS DUE TO A PERIOD OF INACTIVITY			
8) ARE THERE IT SECURITY POLICIES, PROCEDURES AND STANDARDS IN PLACE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
9) DOES THE COMPANY HAVE A WRITTEN POLICY FOR COMPUTER USE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
9A) IF SO, DOES THE POLICY INCLUDE A DISCIPLINARY ACTION CLAUSE FOR ABUSE OF SYSTEMS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
9B) ARE EMPLOYEES REQUIRED TO SIGN THE POLICY INDICATING THEIR WILLINGNESS TO COMPLY?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
10) IS THERE A SYSTEM IN PLACE TO IDENTIFY THE ABUSE OF IT INCLUDING IMPROPER ACCESS, TAMPERING OR THE ALTERING OF BUSINESS DATA?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

QUESTION		CORRECTIVE ACTION PLAN & TARGET DATE	CORRECTIVE ACTION COMPLETED & DATE
11) TO MAINTAIN THE SYSTEM INTEGRITY, ARE THERE VIRUS PROTECTIONS, FIREWALLS, AND SYSTEM RECOVERY PLANS IN PLACE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

**X. BUSINESS PARTNER REQUIREMENTS**

1) DOES YOUR COMPANY HAVE A WRITTEN AND VERIFIABLE PROCESS FOR THE SELECTION OF THEIR SUPPLY CHAIN BUSINESS PARTNERS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) DOES YOUR COMPANY REQUIRE A WRITTEN ACKNOWLEDGEMENT FROM BUSINESS PARTNERS INDICATING THAT THEY AGREE TO MEET C-TPAT MINIMUM SECURITY CRITERIA, SIGNED BY ONE OF THE BUSINESS PARTNERS' SENIOR MANAGER?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
3) DOES YOUR COMPANY SEND OUT SECURITY QUESTIONNAIRES TO ITS BUSINESS PARTNERS TO CONFIRM THAT PROPER SECURITY MEASURES ARE IN PLACE?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
4) ARE RETURNED SECURITY QUESTIONNAIRES REVIEWED TO ENSURE ACCEPTABLE ANSWERS?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
5) IS THERE A FOLLOW UP PROCEDURE FOR RETURNED SECURITY QUESTIONNAIRES WITH UNACCEPTABLE ANSWERS (INTERACT WITH BUSINESS PARTNERS TO GET DEFICIENCIES CORRECTED)?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
6) DOES YOUR COMPANY CONDUCT FACILITY SURVEYS FOR THOSE BUSINESS PARTNERS DEEMED TO BE A HIGH RISK?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
7) HOW OFTEN ARE BUSINESS PARTNERS RE-SCREENED?			

**X. CORPORATE SUPPORT FOR SUPPLY CHAIN SECURITY**

1) DOES THE COMPANY'S SENIOR MANAGEMENT ACTIVELY SUPPORT THE COMPANY'S SUPPLY CHAIN SECURITY PROGRAM?	YES <input type="checkbox"/> NO <input type="checkbox"/>		
2) DOES THE COMPANY HAVE A STATEMENT OF SUPPORT FOR THE COMPANY'S SUPPLY CHAIN SECURITY PROGRAM WHICH HAS BEEN SIGNED BY MEMBERS OF THE COMPANY SENIOR MANAGEMENT TEAM AND WHICH IS POSTED IN STRATEGIC LOCATIONS AROUND THE FACILITY?	YES <input type="checkbox"/> NO <input type="checkbox"/>		

## BUSINESS PARTNER AGREEMENT

### MINIMUM SUPPLY CHAIN SECURITY CRITERIA

**NOTE: Non-C-TPAT/ non-AEO certified business partners are subject to verification of compliance with C-TPAT minimum security criteria, to include digital photographs and on-site visits, prioritized by risk.**

- 1. We require all of our supply chain business partners to be:**
  - 1.1 a member of C-TPAT or a member of a U.S. Customs-approved mutual recognition supply chain security program administered by a foreign government.**
  - 1.2 Or minimally, agree to follow all of the C-TPAT minimum security requirements.**
  
- 2. C-TPAT MINIMUM SECURITY CRITERIA IS:**
  - 2.1 Business partners must complete and return our Security Questionnaire. Responses to the questionnaire will determine our company's potential future relationship with the business partner. We will focus on the business partner's commitment, as revealed by the questionnaire, demonstrating adherence to the C-TPAT guidelines.**
  - 2.2 Business partners must have documented procedures that address personnel and hiring procedures, IT security, business partner screening, container/trailer security and container/trailer sealing.**
  - 2.3 Business partners must adhere to our company's documentation requirements. This includes providing accurate shipping documents promptly, in good order and legibly written.**
  - 2.4 Those foreign business partners who are loading containers bound for the US are required to complete a documented 8-point container inspection checklist using a checklist for each container bound for the U.S.**
  - 2.5 The 8-point container inspection checklist should become a standard part of the shipping documents package and must be transmitted (in advance of arrival in the U.S.) with all of the other shipment documents.**
  - 2.6 Business partners must screen potential employees to include review of the employment application for accuracy, verification of listed references and 7-year criminal background check (where allowed by local laws).**
  - 2.7 Business partners must have procedures in place to report shipment-related security incidents to our company and to the appropriate government authorities.**
  - 2.8 Business partner's staff members who are involved in loading or unloading containers and those processing shipment-related documents must be trained to recognize and report potential threats and suspicious conditions/ persons/behavior.**
  - 2.9 Business partners must have IT security measures in place to include forced network password changes (not to exceed 90 days), lock-out after 3 failed log-in attempts (admin intervention required to restore access) and lock-out after 15 minutes of inactivity (user log-in required to regain access).**
  - 2.10 Business partners must have employee and visitor identification procedures in place.**

**I acknowledge that I have received this agreement and the accompanying Supply Chain Security Standard Operating Procedures (SOPs) and that our company agrees to comply with all of the stated requirements.**

**Company Name:** \_\_\_\_\_

**Country:** \_\_\_\_\_

**Business Type**  Foreign Factory  Foreign Shipper  Foreign Trucking  
 Foreign Agent  Foreign CFS  US Freight Forwarder  US Trucking  
 US CHB  US CFS / Foreign Trade Zone / Customs Bonded Warehouse  
 US Importer  US Exporter

**Name of Person signing this document:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_