

# Overseas Agent Security Questionnaire

## Customs-Trade Partnership against Terrorism

### Introduction and General Instructions

As you know, CLEARFreight is a member of the Customs-Trade Partnership Against Terrorism (C-TPAT). This program is a key anti-terrorism initiative developed by U.S. Customs and Border Protection (CBP) in partnership with the U.S. business community. To qualify for C-TPAT membership, we must ask about the security procedures in place throughout our supply chain of which your operation is an important part. For purposes of C-TPAT, CBP defines the supply chain to extend from an importer's point of origin (manufacturer/supplier/vendor) through to the shipment's distribution point(s) in the United States.

To remain in good standing in the program, we are required to have written and verifiable processes for the selection of business partners, including carriers, customs brokers, non-US consolidators, and domestic and non-US warehouses. As part of these processes, we are also expected to ask you to demonstrate that your company's security procedures meet the minimum security requirements established by CBP, to the greatest extent possible.

Your responses to this questionnaire will help us meet our obligations as members of C-TPAT. Please contact us before answering this questionnaire if you have any questions about the minimum security procedures outlined below. This questionnaire is designed to help identify those areas where improvements may be needed in order to meet CBP's minimum security requirements. Identifying where improvement may be needed will not negatively affect our business relationship, but will allow us to work with you to develop a security improvement plan that makes sense for your operations. Your responses and your compliance with the C-TPAT minimum security criteria are subject to verification by us as required by CBP. We will incorporate the verification of your supply chain security into our quality control and inspection(s) of your operations.

**Note:** If you have responded to our questionnaire in the past, you may simply update new information or changed status. You do not need to respond to each item, if there is no change. **ALSO ADD A NO CHANGE COLUMN BELOW.**

**Your questionnaire responses must be signed by an officer of your company.** If you have several operations with different procedures, please copy this questionnaire and provide separate responses for each one. When we talk about "your operations" or "your business," they may be your own or they may be third party warehouses or trucking/transport companies that you hire to handle, load and transport international cargo destined for the U.S. In other words, please provide responses for your own operations, as well as any third-party cargo handling and trucking/transportation service providers which are processing U.S.-destined cargo on your behalf. Please limit your response to only those operations that handle cargo destined for the U.S. as C-TPAT only applies to the trade lane between your country and ours. Please indicate the operations covered by this response, or note "all" if one response covers all of your cargo handling operations:

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Feel free to attach any supporting documents, such as written policies and procedures, if you think that information would be helpful or provides an easier way for you to respond to these questions. You may also attach longer written explanations to clarify any of your responses, or insert information on the form directly after the question. For example, if there are legal or regulatory restrictions which stop you from implementing a specific procedure, or perhaps you have substituted a security measure in place of one

mentioned below, please tell us that and provide an explanation. Please return your response within thirty (30) days of receipt.

<p>Please respond by circling or marking the appropriate answer with an "X". We realize this questionnaire includes items that may not apply to your business. If the question does not apply, please mark an "X" in the "Not Applicable" column.</p>			
<p>1. Are you a member of a WCO-accredited security program administered by a non-US customs authority? If you are a member of a WCO-accredited program, please identify the program and supply evidence of your status, after which, you may go to the end of this questionnaire, and sign, date and return it to us. Program: _____ Status: _____</p>	YES	NO	
<p>2. Do you participate in some other non-US Customs supply chain security program? If so, please identify the program and supply evidence of your status. Program: _____ Status: _____</p>	YES	NO	
<p>3. Does this response pertain to a company operation?</p>	YES	NO	Not Applicable
<p>4. If yes, is cargo handled at this site?</p>	YES	NO	Not Applicable
<p>5. Is this response about a warehouse you hire when you handle cargo destined for the U.S.?</p>	YES	NO	Not Applicable
<p>6. Is this response about a truck/transport company you hire to move cargo from the manufacturer/supplier or cargo handling site to the international carrier's operations?</p>	YES	NO	Not Applicable
<p>7. Do you periodically check the supply chain security procedures at your third-party warehouses and truck/transport companies?</p>	YES	NO	Not Applicable
<p><b>Physical Security</b> <i>The following questions have to do with the measures already in place to prevent unauthorized access to cargo areas and also to safeguard against theft and sabotage.</i></p>			
<p>8. Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion?</p>	YES	NO	
<p>9. Are the building(s) and grounds, including access areas and lighting, regularly inspected for damage, and repaired as needed?</p>	YES	NO	
<p>10. Is there proper lighting, enough to deter intrusion, inside and outside the building(s), including parking areas, fence lines, entrances and exits, and cargo handling and storage areas?</p>	YES	NO	
<p>11. Are there written procedures to report unauthorized entry into the building(s) to local law enforcement officials?</p>	YES	NO	
<p><i>The following questions have to do with the enclosures, barriers, and other security measures where cargo is handled which protect those areas from unauthorized entry.</i></p>			
<p>12. Are cargo handling and storage areas enclosed by fencing?</p>	YES	NO	Not Applicable
<p>13. Is interior fencing used to segregate high-value and/or dangerous cargo in a secure area within the warehouse or storage area?</p>	YES	NO	Not Applicable
<p>14. Is the fencing regularly inspected for damage, and repaired?</p>	YES	NO	Not Applicable
<p>15. Are the gates through which vehicles enter the cargo handling and storage areas manned and/or monitored at all times when your business operates?</p>	YES	NO	Not Applicable
<p>16. Are the gates closed and locked when the business is closed?</p>	YES	NO	Not Applicable
<p>17. Are the parking areas for employee/visitor/vendor and other passenger vehicles separate from the shipping/loading dock and cargo handling areas?</p>	YES	NO	Not Applicable

<b><i>The following questions relate to the use of video surveillance to monitor facility access points and cargo handling areas.</i></b>			
18. Are video cameras used to monitor the entrances to the building(s) and cargo handling and storage areas, for the purpose of deterring unauthorized access? If yes, how long are the media and records kept:	YES	NO	Not Applicable
<b><i>The following questions have to do with the locking devices you use to secure windows, doors, gates and fences.</i></b>			
19. Do management or security personnel control the keys and other locking devices?	YES	NO	Not Applicable
20. Are there written records about the issuance, removal and changing of access devices, such as keys and key cards?	YES	NO	Not Applicable
21. Are locking devices used to secure all doors, windows, gates and fences? Please explain exceptions and describe the locking mechanisms used (manual, electronic, etc.) _____ _____	YES	NO	Not Applicable
<b><i>The following questions pertain to the use of alarm systems.</i></b>			
22. Is an alarm system used to monitor buildings and grounds and prevent unauthorized access to cargo handling and storage areas?	YES	NO	Not Applicable
23. Are all access points monitored?	YES	NO	Not Applicable
24. Describe any other security systems or measures in use, such as guards employed by the company, guard services, or guard dogs: _____ _____			
<b>Access Controls</b>			
<b><i>The questions in this section relate to procedures for identifying employees, visitors, and vendors at every building entry point, and for preventing unauthorized access to cargo handling areas.</i></b>			
25. Is there an employee identification system, such as photo identification badges, which requires the positive identification of each employee before he or she may enter the business?	YES	NO	Not Applicable
26. Is employee access restricted to only those areas where staff members perform their duties?	YES	NO	Not Applicable
27. Does management or security control the employee, visitor and vendor identification badges?	YES	NO	Not Applicable
28. Must visitors and vendors sign in with their name, company, date of visit and arrival and departure times?	YES	NO	Not Applicable
29. Are visitors and vendors required to wear identification badges while at your business?	YES	NO	Not Applicable
30. Are visitors and vendors escorted at all times by company personnel while at your business?	YES	NO	Not Applicable
31. Are delivery personnel required to present photo identification upon arrival?	YES	NO	Not Applicable
32. Is the information from visitor, vendor and delivery personnel photo identification recorded in a sign-in log?	YES	NO	Not Applicable
33. Are arriving packages and mail regularly screened before delivery within the company?	YES	NO	Not Applicable
34. Are procedures in place for employees to challenge unauthorized or unidentified persons at your business?	YES	NO	Not Applicable

<b>Procedural Security and Container Security</b>			
<i>This section applies only to those businesses that handle cargo and have to do with procedures for identifying drivers who pick up and/or deliver cargo.</i>			
35. Are drivers delivering cargo positively identified, including a review of their photo identification, before cargo is accepted?	YES	NO	Not Applicable
36. Do you maintain a written log of the identity of drivers, including photo identification information and the number of the trailer or container being delivered?	YES	NO	Not Applicable
<b>The following questions have to do with procedural controls over shipment information and documents.</b>			
37. Are empty containers inspected prior to stuffing, including an examination of the front wall, left and right sides, floor, ceiling, roof, inside/outside doors, outside/undercarriage, and the locking mechanism?	YES	NO	Not Applicable
38. Is the loading and unloading of containers supervised by a designated security officer or company employee?	YES	NO	Not Applicable
39. While cargo is being loaded or unloaded, are the quantity, marks, description and weight of the goods verified against the shipping documents? (X any which do not apply.)	YES	NO	Not Applicable
40. Are there written procedures for resolving cargo discrepancies?	YES	NO	Not Applicable
41. Is there a procedure for tracking/monitoring the timeliness of incoming and outgoing cargo movements?	YES	NO	Not Applicable
42. If a container is not immediately loaded or unloaded, is it stored in a secure place to prevent unauthorized access and tampering?	YES	NO	Not Applicable
43. Are there written procedures to report unauthorized entry into containers or storage areas to local law enforcement officials, or when illegal activities are suspected?	YES	NO	Not Applicable
<b>The following questions have to do with the control of seals.</b>			
44. Do the seals used for ocean containers destined for the U.S. meet the current PAS ISO 17712 standards for high security seals?	YES	NO	Not Applicable
45. Is an inventory of seals maintained?	YES	NO	Not Applicable
46. Is there a written record of the seal numbers in inventory, when each seal was assigned, and the number of the container on which it was affixed?	YES	NO	Not Applicable
47. Before accepting delivery of a loaded container, is the seal checked?	YES	NO	Not Applicable
48. Is the seal number checked against the seal number on the documents prior to opening a container?	YES	NO	Not Applicable
49. If there is evidence of tampering, if the seal is missing, or if the seal number does not match the documents, is the container moved to a secure area and held intact until the discrepancy is resolved?	YES	NO	Not Applicable
50. Briefly describe your procedure when there is a problem with a seal. _____ _____	YES	NO	Not Applicable
<b>The following questions have to do with your procedural controls over shipment information and documents.</b>			
51. Are shipping documents checked to make sure they are legible, complete and accurate?	YES	NO	Not Applicable
52. Are computer systems and the information stored in them protected against unauthorized access?	YES	NO	Not Applicable
<b>Information Technology Security</b>			
<i>These questions have to do with your procedures for the security of your automated systems.</i>			
53. Do system users have individually assigned user names and passwords to access information technology systems?	YES	NO	Not Applicable

54. Are users required to periodically change their passwords?	YES	NO	Not Applicable
55. Are computer systems and the information stored in them protected from unauthorized access?	YES	NO	Not Applicable
56. Are firewalls used to protect information technology systems from unauthorized access through the Internet?	YES	NO	Not Applicable
57. Is there a procedure for identifying abuse of information technology systems, including the improper access, tampering or altering of business data?	YES	NO	Not Applicable
<b>Personnel Security</b>			
<i>Laws and regulations in your country may apply to the following procedures, which relate to your process for screening prospective employees and periodically checking current employees.</i>			
58. Is the information provided by job applicants, including employment history and references, verified?	YES	NO	Not Applicable
59. Are pre-employment screening and background checks on prospective employees conducted, as permitted by law,?	YES	NO	Not Applicable
60. Are background checks periodically conducted on current employees based on cause and/or the sensitivity of the employee's position?	YES	NO	Not Applicable
61. Is there a procedure to deny access to your business and information systems to terminated employees?	YES	NO	Not Applicable
<b>Security Training and Threat Awareness.</b>			
<i>These questions have to do with the training you provide employees to insure they are aware of the company's security procedures.</i>			
62. Do you have a program to educate employees to recognize internal conspiracies, maintain cargo integrity and identify and address security issues?	YES	NO	Not Applicable
63. Do you reward employees who report security problems they find?	YES	NO	Not Applicable
<b>Verification</b>			
64. Are the procedures identified in the responses to this questionnaire kept in a verifiable format?	YES	NO	Not Applicable
65. What changes do you plan to improve your security?	YES	NO	Not Applicable
66. Are supply chain security procedures periodically and without notice verified?	YES	NO	Not Applicable

Please sign and return this form after responding to all questions or after updating new information if you have responded in the past.

Name of Person Completing or Supervising the Completion of the Questionnaire:

\_\_\_\_\_

Name and Title

\_\_\_\_\_

Date

\_\_\_\_\_

Company Name