

OTI, Consolidator and Customs Broker

Security Questionnaire

Customs-Trade Partnership against Terrorism

Introduction and General Instructions

The Customs-Trade Partnership against Terrorism (C-TPAT) is a key anti-terrorism initiative developed by U.S. Customs and Border Protection (CBP). To qualify for C-TPAT membership, your company must ensure that its security procedures satisfy the minimum security requirements established by CBP.

In preparing your response to this questionnaire you should also consider that your participation in the C-TPAT program will facilitate the application process for your customers. Importers are required to have written and verifiable processes for the selection of business partners including manufacturers, product suppliers, and vendors. For those business partners eligible for C-TPAT certification (carriers, ports, terminals, brokers, consolidators, ocean transportation intermediaries and NVOCCs) the importer must have documentation (e.g., C-TPAT certificate, SVI number, etc.) indicating whether these business partners are or are not C-TPAT certified. Upon your company's acceptance into the C-TPAT program, you will be able to provide the required C-TPAT documentation to your customers.

Your responses and your compliance with the C-TPAT minimum security criteria are subject to verification by CBP.

Please contact us before answering the questionnaire if you have any questions about the minimum security procedures outlined below. This questionnaire is designed to identify those areas where improvements are needed to meet the minimum security requirements. The correct identification of a security weakness will enable us to work with you to develop a security improvement plan.

You must complete a questionnaire for each facility or location where provide services to importers. You may photocopy this questionnaire as needed.

Please attach any supporting documents, such as written policies and procedures, to your response if you think that is necessary. You may also attach written explanations to clarify any of your responses.

The questionnaire must be signed by an officer of the company.

1. Location of Facility: _____		
2. Are you applying to participate in the C-TPAT program as a (check all that apply)-		
<input checked="" type="checkbox"/> Air Carrier	YES	NO
<input checked="" type="checkbox"/> Sea Carrier	YES	NO
<input checked="" type="checkbox"/> Rail Carrier	YES	NO
<input checked="" type="checkbox"/> Air Freight Consolidator	YES	NO
<input checked="" type="checkbox"/> Ocean Transportation Intermediary – NVOCC	YES	NO
<input checked="" type="checkbox"/> Customs Broker	YES	NO
<input checked="" type="checkbox"/> U.S. Marine Port Authority/Terminal Operator	YES	NO
<input checked="" type="checkbox"/> Warehouse Operator	YES	NO
<input checked="" type="checkbox"/> Other – Please Specify: _____	YES	NO

Physical Security		
3. Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion?	YES	NO
4. Are cargo handling and storage facilities enclosed by fencing?	YES	NO
5. Are the gates through which vehicles enter cargo handling and storage facilities manned and/or monitored at all times when the facility is open?	YES	NO
6. Are the entrance gates closed and locked when the facility is closed?	YES	NO
7. Do you have written procedures to report unauthorized entry into the facility to local law enforcement officials?	YES	NO
8. Do you use video surveillance cameras to monitor the entrances to the facility and the cargo handling and storage areas? If yes, please answer question 9. If no, please skip to question 10.	YES	NO
9. Do you store the tapes for a period of time before reusing them? If yes, how long?	YES	NO
10. Is the facility equipped with an alarm system to monitor the entrances to the facility? If yes, please answer questions 11-15 . If no, skip to question 16.	YES	NO
11. Please describe the procedure that is followed by the alarm monitoring company when it receives a signal that the system has been breached.		
12. Which employees have the code to arm and disarm the alarm system?		
13. Does each employee have a unique code?	YES	NO
14. Are the codes changed periodically? If yes, how often?	YES	NO
15. Does the system monitor who arms and disarms the system and when?	YES	NO
16. Is there adequate lighting inside and outside the facility, including parking areas, fence lines, entrances and exits, and cargo handling and storage areas?	YES	NO
17. Are locking devices used to secure external and internal doors, windows, gates and fences? Please describe the locking mechanisms used (manual, electronic, etc.)	YES	NO
18. Do management and/or security personnel control the issuance of keys or other access devices?	YES	NO
19. Are there separate parking areas for employee/visitor vehicles and the shipping/loading dock and cargo areas?	YES	NO
20. Do you segregate high-value and/or dangerous cargo in a secure area within the warehouse or storage yard?	YES	NO
21. Do you have a communication system to contact internal security personnel and/or local law enforcement authorities?	YES	NO

Access Controls		
22. How many employees do you have at this facility? _____		
23. Do you have an employee identification system which provides for the positive identification of employees before they may enter the facility?	YES	NO
24. Do employees have access only to those areas in which they perform their duties?	YES	NO
25. Do management and/or security personnel control the issuance of employee, visitor and vendor identification badges?	YES	NO
26. Do you maintain a written log in which visitors sign in with their name, company, date of visit and time of arrival and departure?	YES	NO
27. Are visitors required to present photo identification upon arrival?	YES	NO
28. Are visitors required to visibly display a temporary identification badge while on the premises?	YES	NO
29. Are visitors escorted at all times by company personnel while on the premises?	YES	NO
30. Are vendors and other delivery personnel required to present photo identification upon arrival?	YES	NO
31. Are arriving packages and mail periodically screened before delivery within the company?	YES	NO
32. Do you have identification procedures for all employees, visitors and vendors at all points of entry?	YES	NO
33. Do you have procedures to challenge unauthorized/unidentified persons and to report problems to local law enforcement officials?	YES	NO
Procedural Security and Container Security		
(This section applies only to those facilities that deconsolidate shipments or otherwise physically handle cargo. If your facility does not handle cargo, please skip this section.)		
34. Do you have a designated security officer to supervise the unloading of cargo from containers, trailers and railcars?	YES	NO
35. Do you verify the quantity and identity of goods against the shipping documents as they are unloaded?	YES	NO
36. Do you have procedures to resolve discrepancies prior to delivery to the ultimate consignee?	YES	NO
37. Do you track the timeliness of incoming and outgoing cargo movements?	YES	NO
38. Are drivers delivering cargo positively identified before the shipment is accepted?	YES	NO
39. Do you maintain a written log of the identity of drivers who deliver cargo and the number of the container or trailer that was delivered?	YES	NO
40. Are drivers picking up cargo positively identified before the shipment is released?	YES	NO
41. Do you maintain a written log of the identity of drivers who pick up cargo and the number of the container or trailer that was picked up?	YES	NO
42. Do you have procedures to ensure that all information related to shipments is protected against loss or the introduction of erroneous information?	YES	NO
43. Do you have procedures to ensure that all shipping documents are legible, complete and accurate?	YES	NO
44. Are your computer systems and the information stored on them protected against unauthorized access?	YES	NO
45. Do you verify the physical integrity of the container structure upon its arrival at your facility and/or prior to unloading?	YES	NO
46. Does the inspection of the physical integrity of the container structure examine the following seven-points of the container's structure:		
a. Front wall (to detect any false walls)	YES	NO

b. Left side	YES	NO
c. Right side	YES	NO
d. Floor	YES	NO
e. Ceiling/Roof	YES	NO
f. Inside/outside doors	YES	NO
g. Outside/undercarriage	YES	NO
47. If you load containers at this facility, who provides seals to you?		
48. Do you maintain an inventory of container seals?	YES	NO
49. If the answer to question 48 is yes, do you maintain a written record of the seal numbers in inventory and a log book identifying when a seal is used and the container number on which it was installed?	YES	NO
50. Do you verify the presence of a seal before accepting delivery of a loaded container?	YES	NO
51. Do you verify the seal number against the seal number recorded on the shipping documents prior to opening the container?	YES	NO
52. If there is evidence of tampering, if the seal is missing or if the physical seal number does not match the shipping documents, do you move the container to a secure area and hold it intact until the discrepancy is resolved?	YES	NO
53. If you are unable to immediately dock the container and unload it, do you store it in a secure area to prevent unauthorized access and/or tampering?	YES	NO
54. Do you have written procedures to report unauthorized entry into containers or container storage areas to local law enforcement officials?	YES	NO
55. Do you have written procedures to notify U.S. Customs and/or local law enforcement officials when anomalies or illegal activities are suspected?	YES	NO
Information Technology Security		
56. Do you use individually assigned accounts for personnel to access your information technology systems?	YES	NO
57. Do the accounts limit access to information and programs on the basis of an employee's need to know and need to do for the performance of her/his duties?	YES	NO
58. Do you require users to periodically change their passwords to access your information technology systems?	YES	NO
59. Do you use firewalls to protect your information technology systems from unauthorized access from the Internet?	YES	NO
60. Do you have a system to identify the abuse of your information technology systems including the improper access, tampering or altering of business data?	YES	NO
Personnel Security		
<i>The following personnel security procedures must be followed in accordance with local laws and regulations.</i>		
61. Do you conduct pre-employment screening and background checks on prospective employees?	YES	NO
62. Do you verify the information provided by job applicants, including employment history and references?	YES	NO
63. Do you have procedures to report and manage problems related to personnel security?	YES	NO
64. Do you periodically conduct background checks on current employees based on cause and/or the sensitivity of the employee's position?	YES	NO
65. Do you have procedures to remove identification badges and to deny facility and information systems access for terminated employees?	YES	NO

Employee Education and Awareness		
66. Do you have or plan to have a security awareness program to educate employees to recognize internal conspiracies, maintain cargo integrity and to identify and address security issues?	YES	NO
67. Does the security awareness program encourage and reward employees for active participation in security programs?	YES	NO
Threat Awareness		
68. Do you have or plan to have a threat awareness program established and maintained by security personnel and designed to recognize and foster awareness of the threat posed by terrorists and contraband smugglers?	YES	NO
Participation in Other Customs Industry Partnership Programs		
69. Are you a participant in (check only those that apply to your company):		
✓ The Carrier Initiative Program (CIP)	YES	NO
✓ The Super Carrier Initiative Program (SCIP)	YES	NO
✓ The Business Anti-Smuggling Coalition (BASC)	YES	NO
✓ The Free and Secure Trade (FAST) Program	YES	NO
Verification		
70. Are the specific procedures identified in this questionnaire response maintained in a verifiable format?	YES	NO
Security Plans		
71. What changes do you plan to make to improve security?		
72. Do you periodically and without notice conduct verifications of your security procedures?	YES	NO

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

Name and Title: _____

Date: _____