C-TPAT QUESTIONNAIRE FOR BUSINESS PARTNERS

Company Name:_____

Street Address:_____

City/Country:_____

Name and title of person providing information:_____

Telephone number of contact person:_____

E-mail address:_____

Type of business you perform, please check all that apply:
_ NVOCC

_ Ocean Freight Forwarder

_ Trucking at (list locations): _____

_ Documentation agent at (list locations): _____

_ Customs Broker (list office locations): _____

_ Other (describe): _____

2. In providing services as an EMO Trans agent are any of those services subcontracted to "third parties"?
_ Yes   _ No   _ N/A

If YES, describe the functions: _____
Please list the companies that handle third party functions and identify the functions they handle.
_____

_____

_____

(use additional page if necessary)

3. If yes, has your company documented the security procedures to be used by each of these subcontractors?
_ Yes   _ No   _ N/A

If yes, describe: _____

4. Are the security practices and standards of your company's subcontractors documented as being at least equal to your own security practices and standards?

_ Yes, for all subcontractors   _ No   _ N/A
_ Yes, for these subcontractors only: _____
_ The following subcontractors have established different standards (explain):

_____

_____

5. Is your company a participant in C-TPAT? _____   If so please provide your SVI number_____

a. Is your company a participant of another Customs administered supply chain security program such as AEO?____   If so please list the program:_____

b. Have you been certified Yes_____   No_____,   date certified_____

6. Do you provide consolidation/deconsolidation or other cargo handling services?
_ Yes _ No   _ N/A

If yes, describe: _____

7. Is access to your cargo handling facilities restricted to authorized employees and authorized visitors?
_ Yes   _ No   _ N/A

If yes, describe: _____

8. Do you secure your cargo handling facilities against unauthorized access to cargo?
_ Yes   _ No   _ N/A

If yes, describe: _____

9. Do you have established processes to identify possible security issues at your cargo handling facilities, and to resolve any such security issues? _ Yes   _ No   _ N/A

If yes, describe: _____

10. Have you documented your security processes and standards? _ Yes   _ No   _ N/A

If yes, describe: _____
_ A copy of these processes and standards: _ Is available   _ Has been provided
_ A summary of these processes and standards: _ Is available _ Has been provided

11. Do you have established processes and standards for shipping and receiving cargo?
_ Yes   _ No   _ N/A

If yes, describe: _____

Are these processes documented? _Yes   _No
_ A copy of these processes and standards: _ Is available _ Has been provided
_ A summary of these processes and standards: _ Is available _ Has been provided

12. Do you perform background checks on your employees?
_ Yes   _ No   _ N/A
If yes, describe what is checked: _____

13. What type of training (describe) do company employees who perform <u>consolidation or deconsolidation (loading/unloading) services</u> have, in each of these areas?

Security procedures: _____
Hazardous materials regulations: **_____**
Air Cargo Security regulations for your country (for air cargo): _____
_____

14. Security of your facilities: ………………………………………………………….

a. Office:
Are locks on: _ External doors   _ Internal doors   _ Windows
_ Other: _____

Does the facility have an alarm system? _No _Yes (details:)

_____

b. Warehouses and other cargo handling locations _____ ___

   Are locks on: _ External doors   _ Internal doors

_ Other: (details)_____

_ Alarm system (details) _____

_ Video monitoring system, covering:

_ Interior _ Dock office _ Exterior _ Yard _ Gate   _ Other: _____

_ Fences: _ Perimeter   _ Yard   _ Other: _____

_ Lighting: _ Interior _ Exterior _ Yard   _ Other: _____

_ Segregated storage for high-value items:

_ Cage   _ Safe   _ Other:

_ Segregated storage for dangerous goods (details:) _____

_ Segregated storage for foreign, not cleared (details:) _____

_ Segregated bonded storage (details:) _____

_ Other: _____

_ N/A – No warehouse space or other cargo handling facilities

c. Other: Type of facility: _____

   Security details: _____

14. Access controls for your facilities:
a. Unauthorized access to company office facilities prohibited: _ Yes   _ No

Is positive identification required for all employees, visitors, and vendors? _ Yes   _ No

Do employees challenge any unauthorized or unidentified persons? _ Yes   _ No

Are visitors and vendors escorted by company employees while on premises? _ Yes   _ No

b. Employee identification badges used to control access to company offices: _ Yes   _ No

c. Electronic "card key" or similar system used to control access to company offices: _ Yes   _ No

d. Unauthorized access to warehouse or other cargo handling locations prohibited:
   _ Yes   _ No   _ Do not have warehouse or cargo handling locations

Is positive identification required for all employees, visitors, and vendors? _ Yes   _ No

Do employees challenge any unauthorized or unidentified persons? _ Yes   _ No

Are visitors and vendors escorted by company employees while on premises? _ Yes   _ No

e. Employee identification badges used to control access to warehouses and other cargo handling locations:
   _ Yes   _ No   _ Do not have warehouse or cargo handling locations

f. Electronic "card key" or similar system used to control access to warehouses and other cargo handling locations: _ Yes   _ No

g. Unauthorized access to company vehicles prohibited: _ Yes   _ No _ Do not have company vehicles

15. Your facilities, equipment, vehicles, and access controls are regularly inspected to detect evidence of unauthorized access or tampering: _ Yes   _ No   _ N/A

Details: _____

16. Cargo control at your cargo facilities (if multiple locations, describe any differences between locations):
_____
Are the company's shipping and receiving processes and standards documented? _Yes   _ No _ N/A
_ A copy of these processes / standards: _ is available _ is attached
_ A summary of these processes / standards :   _ is attached

a. Carriers must receive positive authorization from facility staff, before a carrier vehicle is allowed to enter the facility: _ Yes   _ No   _ N/A

Details: _____

b. Carrier drivers are escorted at all times, while in any area of the facility where a driver might have access to either cargo or documents: _ Yes   _ No   _ N/A

Details: _____

c. Receiving staff have detailed written (or electronic) documentation covering each lot of goods to be received, before the goods arrive at your facility: _ Yes   _ No   _ N/A

Details: _____

d. Receiving staff verify the manifest or package count for each lot of goods received, by checking actual shipment count against their receiving documents: _ Yes   _ No   _ N/A

Details: _____

e. Receiving staff verify the seal number(s) of each sealed container, trailer, or railcar received, by checking the number against their receiving documents, *before* the seal is broken: _ Yes   _ No   _ N/A

Details: _____

All EMO Trans agents should conduct a **seven point** inspection on all containers / trailers (loaded and empty containers):
1.   Front wall
2.   Right side
3.   Left side
4.   Rear Doors, door hardware, seals
5.   Underside of container / trailer
6.   Container / trailer roof
7.   Inside of container / trailer

Any discrepancies are to be noted in writing and supervisor(s) are to be alerted before allowing container / trailer to be further processed.

f. Receiving staff verify other details (container or trailer number, weight, package or tag marks, condition of goods, apparent type of goods, etc.) for each lot of goods received, by comparing the actual goods to the description and details on their receiving documents: _ Yes _ No _ N/A

Details: _____

g. Receiving staff have – *and follow* – standard procedures to report any shortage, Damage, or other discrepancy in any lot of goods received at their facility: _ Yes _ No _ N/A

Details: _____

h. Any quantity discrepancy (shortage or overage) in an import shipment is promptly reported, *in writing*, to the appropriate Customs officer or unit: _ Yes _ No _ N/A

Details: _____

i. Any unmanifested merchandise, or other unmanifested item found in an import shipment, is promptly reported, *in writing*, to the appropriate Customs officer or unit: _ Yes _ No _ N/A

Details: _____

j. Each lot of goods received is placed in a specific location within the receiving facility, and the location is noted as part of the shipment receiving record: _ Yes _ No _ N/A

Details: _____

k. Staff at each cargo facility do regular inventories of goods on hand: _ Yes _ No _ N/A

Details: _____

l. Inventory records are verified against shipping and receiving records, to identify any discrepancies:
_ Yes   _ No   _ N/A

Details: _____

This inventory is done:
_ Daily   _ Weekly   _ Every _____ weeks   _ Monthly
_ Every _____ months   _ Other: _____

m. Any theft (or attempted theft) from the facility is promptly reported to the appropriate local agency:
_ Yes   _ No   _ N/A

Details: _____

n. Any theft (or attempted theft) or disappearance of in-bond cargo, or any cargo not yet released by Customs, is promptly reported, *in writing*, to the appropriate Customs officer or unit: _ Yes _ No _ N/A

Details: _____

o. Shipping staff have detailed written (or electronic) documentation covering each lot of goods to be shipped or released from the facility, before the goods are loaded to an outbound container, trailer, or other conveyance: _ Yes   _ No   _ N/A

Details: _____

p. Shipping staff verify the type of goods and manifest or package count for each lot of goods to be shipped, by checking the actual goods and actual shipment count against their shipping documents, before the goods are loaded out: _ Yes   _ No   _ N/A

Details: _____

q. Shipping seals are closely controlled by company staff or managers:
_Yes   _No   _ N/A

Details: _____

This control includes (check all that apply):
_ Unused seals are kept in a secure location.
_ A written (or electronic) record, or seal log, is kept for all seal numbers.
_ Each seal is issued individually, by seal number, for a specific assigned use.
_ Seal numbers are assigned in advance, for use on specific shipments.

_ Each seal number is individually signed for, by the user.
_ Each lot or sequence of seal numbers is regularly audited, to ensure that all seal numbers are properly accounted for.
_ Other: _____

r. Type(s) of seals used:
_ Metal bolt   _ Metal with ball   _ Metal strip   _ Plastic strip
_ High-impact plastic   _ Electronic   _ Other: _____
If more than one type is used, explain:
_____

s. Shipping staff personally apply seals to all outbound loaded containers or trailers, and verify that those seals are intact and secure before the load is allowed to leave: _ Yes   _ Yes, except as noted below   _ No   _ N/A
_ Outbound trucks or trailers of LTL carriers are not sealed, unless a unit is fully loaded or for "exclusive use".
_ Outbound trucks for local deliveries are not sealed.
_ Outbound trucks for local deliveries are padlocked instead of sealed.
_ Other: _____

t. Departing carriers (whether loaded or empty) must receive positive authorization from facility staff, before a carrier vehicle is allowed to leave the facility: _ Yes   _ No   _ N/A

Details: _____

u. _ Other cargo control systems and processes used:

Explanation: _____

17. Theft prevention at your cargo facilities (if multiple locations, describe any differences between locations):
a. Cargo doors are kept closed and secured at all times, except when in actual use:
_ Yes   _ No   _ N/A

Details: _____

b. Personnel doors are kept closed and secured at all times, except when in actual use:
_ Yes   _ No   _ N/A

Details: _____

c. Gates are kept closed and secured at all times, except when in actual use:
_ Yes   _ No   _ N/A

Details: _____

d. Parking for private vehicles (including employee vehicles) is kept separate from shipping, loading dock, and cargo areas: _ Yes   _ No   _ N/A

Details: _____

e. Facility staff and managers have adequate communications systems to promptly contact local police and/or security guards when appropriate: _ Yes   _ No   _ N/A

Details: _____

f. Security guards stationed at facility: _ Yes   _ No   _ N/A
_ During working hours   _ Nights   _ Weekends and holidays   _ Other:

g. Security patrols used:
_ Yes   _ No   _ N/A
_ During working hours _ Nights   _ Weekends and holidays   _ Other:

h. Other: _____

_____   _____ _____
Signature   Name and Title   Date
Partner name / Office / Country: _____