

## **C-TPAT Business Partner Questionnaire**

Interlog USA, Inc has been a member of C-TPAT, a supply chain security program established by U.S. Customs and Border Protection (CBP), since 2005. Membership in C-TPAT requires that our company and its business partners commit to minimizing the risk of unauthorized and/or dangerous goods entering the U.S. in one of our shipments.

This commitment requires, among other things, that we ask our business partners to analyze their physical security and internal control procedures, and certify that they have taken the necessary steps to protect their part of the supply chain.

As one of our most important business partners, you play a critical role in the security of our supply chain. Our obligation to CBP and our U.S. customers require that we ask your company to confirm that you either have in place or that you agree to develop security processes that are consistent with C-TPAT security criteria.

To assist us in this regard, we are attaching a questionnaire for you to review and complete. This questionnaire is the means by which we can document that the commitment to security required of our business partners under C-TPAT has been met. We request that you complete this questionnaire and once completed have it signed by a senior company official and returned to us within 10 business days.

If you are already a C-TPAT certified company, please fill out section I, include your SVI number and return form.

Your prompt attention to this matter is very much appreciated.

Sincerely,

Interlog USA, Inc.  
9380 Central Ave NE, Suite 350  
Minneapolis, Minnesota 55434  
Tel: 1 (800) 603 6030

[www.interlogusa.com](http://www.interlogusa.com)

**C-TPAT Business Partner  
Supply Chain Security Questionnaire**

**I. Business Partner Data**

Company Name:

Address:

Name/Title of Contact Person:

Email:

Phone:

Fax:

SVI Number:

**II. Security Policies, Procedures and Practices**

C-TPAT requires that your company have policies or procedures in the security areas described elsewhere in this questionnaire. Accordingly, please mark "YES" or "NO" in the spaces indicated. Also, please explain any "No" answers. For example, you may explain why a specific security measure does not apply or is not necessary at your company. You may also wish to attach written documentation to support your responses, such as documents from your security manual, training handbook, etc.

**III. Questionnaire & Certification (see attachment)**

**(See attachment)**

Please note that the attached questionnaire does not have to be completed if your company is C-TPAT certified. In such case, please provide your SVI number in lieu of completing the questionnaire.

## **C-TPAT Business Partner Supply Chain Security Questionnaire**

### **1. Business Partner Requirements**

***For purposes of implementing the minimum standards prescribed by C-TPAT for brokers, the term “business partner” includes all third parties within the supply chain with whom the Customs Broker voluntarily, and on its own initiative, engages in the performance of its agency obligations for importer clients (but does not include those clients).***

Does the company have written and verifiable processes for the screening of new business partners, beyond financial soundness issues, to include security indicators?

Yes      No  
     

For business partners eligible for C-TPAT certification, does the company maintain documentation (e.g., C-TPAT certificate, SVI number, etc.) indicating whether these business partners are, or are not C-TPAT certified?

Yes      No  
     

Does the company ask current or prospective business partners whether they participate in a supply chain security program being administered by foreign Customs Administration?

Yes      No  
     

If yes, do you request that they provide a certificate or other evidence of their participation?

Yes      No  
     

Does the company ensure that C-TPAT security criteria is provided to importer-clients by making educational opportunities available through seminars, through consultative services, dissemination of text materials, and/or through providing assistance to clients in obtaining such materials on the CBP website or elsewhere, when requested?

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Yes      No  
     

Does the company encourage client-importers to join the C-TPAT program?

Yes      No  
     

**2. Container and Trailer, Security**

***The company should convey to its business partners who are importers, whether a C-TPAT member or not, concerning the importance of having security procedures in place at the point of stuffing.***

Specifically, does the company advise its importer-clients that they should follow the U.S. Customs seven-point inspection process for empty containers, prior to loading the cargo?

Yes      No  
     

In the case of clients in Mexico, has the company advised its clients of the U.S. Customs recommended seventeen-point inspection process for all trailers/tractor?

Yes      No  
     

**3. Container Security, Seals**

***The sealing of trailers and containers, to include continuous seal integrity, are crucial elements of a secure supply chain.***

Does the company convey to its business partners that seals used to secure loaded containers and trailers bound for the U.S. must meet or exceed the current ISO 17712 standards for high security seals?

Yes      No  
     

**4. Physical Access Controls**

Does the company have documented procedures for the issuance, removal and changing of access devices (e.g. keys, key cards, etc.)?

Yes      No  
     

Does the company require identification badges for employees?

Yes      No

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Does the company require unknown visiting persons to present photo identification upon arrival and be escorted while on the broker's premises?

Yes      No

    

Does the company maintain a logbook of all unknown visiting persons, recording such data as visitor name, purpose of visit and confirmation of identity?

Yes      No

    

Does the company require visitors/vendors to wear temporary identification badges upon arrival, to be visibly displayed at all times while on the broker's premises?

Yes      No

    

Has the company trained its employees to identify, challenge and address unauthorized and/or unidentified persons?

Yes      No

    

Does the company require vendor ID and/or photo identification to be presented for documentation purposes upon arrival of all first time or unknown vendors or vendor representatives?

Yes      No

    

**5. Personnel Security**

Does the company have written and verifiable processes in place to screen prospective employees and to periodically check current employees?

Yes      No

    

Does the company verify application information, such as employment history and reference, prior to commencement of employment?

Yes      No

    

Does the company conduct background checks of prospective employees?

Yes      No

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For existing employees, does the company conduct periodic checks and reinvestigations based on cause, and/or the sensitivity of the employee's position?

Yes      No  
     

Do you have procedures in place or use a checklist to ensure that when an employee leaves the company, all access to the building, facility or the company's information system ceases?

Yes      No  
     

**6. Procedural Security**

Does the company have measures in place to ensure that data transmitted to CBP is optimal quality in order for CBP to maximize the use of their selectivity systems?

Yes      No  
     

Does the company have procedures in place to ensure that all information provided by the importer/exporter, freight forwarder, etc., and used in the clearing of merchandise/cargo, is legible and protected against electronic or manual manipulation?

Yes      No  
     

Does the company have documentation controls include procedures for ensuring that the information transmitted to CBP through the entry summary process matches the information that appears on the transaction documents provided by its clients? For example, do the supplier and consignee names and addresses agree; are the commodity description, weight, quantity, and unit of measure (i.e. boxes, cartons, etc.) correct?

Yes      No  
     

Does the company contact the business partner or importer/exporter, as necessary, to obtain corrected documentation or information when discrepancies appear?

Yes      No  
     

Does the company, to the extent such information comes to the broker's attention, alert the importer/exporter of its obligation to notify CBP and/or any other appropriate law enforcement agency of any errors and/or shortages and overages of merchandise that create a security risk in the supply chain?

Yes      No

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In the case of ocean transport (sea containers) and not cargo arriving via any other mode of transportation, does the company follow a practice of ensuring the import data is obtained in time so that the entry can be filed a minimum of 24 hours prior to the cargo arriving to the U.S?

Yes No

In cases where the company handles the importing cargo, does the company physically reconcile arriving cargo against information on the cargo manifest?

Yes No

Does the company have procedures to ensure that the arriving cargo is accurately described, and the weights, labels, marks and piece count indicated and verified?

Yes No

Is the cargo verified against purchase or delivery orders?

Yes No

Does the company require that the drivers delivering or receiving cargo be positively identified before the cargo is received or release?

Yes No

Does the company require that procedures be established (between their client and foreign shipper) to track the timely movement of incoming goods?

Yes No

**7. Physical Security**

Please answer the following questions if you receive and store cargo at your facility.

Does the perimeter fencing enclose the areas around cargo handling and storage facilities?

Yes No

Do you regularly inspected for integrity and damage?

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Yes      No  
     

Are security gates through which vehicles and/or personnel enter or exit manned and/or monitored?

Yes      No  
     

Are the number of gates kept to the minimum necessary for proper access and safety?

Yes      No  
     

Are employee passenger vehicles prohibited from parking in or adjacent to cargo handling and storage areas?

Yes      No  
     

Are buildings constructed of materials that resist unlawful entry?

Yes      No  
     

Is the integrity of structures maintained by periodic inspection and repair?

Yes      No  
     

Is adequate lighting provided inside and outside the facility, including the following areas: entrances and exits, cargo handling and storage areas, fence lines and parking areas?

Yes      No  
     

Are alarm systems and video surveillance cameras utilized to monitor premises and prevent unauthorized access to cargo handling and storage areas?

Yes      No  
     

Do cargo handling and storage facilities, as well as those facilities used to make entry of the international cargo, have physical barriers and deterrents that guard against unauthorized access?

Yes      No



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Do cargo handling and storage facilities, as well as those facilities used to make entry of the international cargo, have physical barriers and deterrents that guard against unauthorized access?

Yes      No  
     

**8. Information Technology Security**

Are there measures in place to safeguard computer access and information?

Yes      No  
     

Is there a system in place to identify the abuse of IT including improper access, tampering or the altering of business data?

Yes      No  
     

Are all system violators subject to appropriate disciplinary actions for abuse?

Yes      No  
     

Does the company require a periodic change of password?

Yes      No  
     

Does the company provide IT training to employees?

Yes      No  
     

Does the company have anti-virus and anti-spy ware installed and kept current?

Yes      No  
     

**9. Security Training and Threat Awareness**

***As a liaison between CBP and trade community, C-TPAT suggests that brokers create opportunities to educate the importing community on C-TPAT policy, and those areas***

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***in which the broker has relevant expertise, such as security best practices, access controls, documentation fraud, information security, and internal conspiracies.***

Does the company follow a practice of educating the importing community on C-TPAT policy as described above?

Yes      No  
     

***I certify that the information in this questionnaire is true and correct to the best of my knowledge. Should significant changes occur in our program, we will provide written notification to the company in writing of these changes.***

Signature \_\_\_\_\_

Title \_\_\_\_\_

Company \_\_\_\_\_

Date \_\_\_\_\_