

Customs-Trade Partnership against Terrorism

Supply Chain Security Profile

Service Provider Assessment (Warehouse)

Please answer the following questions about your company's cargo security processes and participation in the Customs-Trade Partnership against Terrorism (C-TPAT) program. There is space at the end of this assessment form to provide more detailed answers, or feel free to use separate sheets of paper. The completed form should be returned to us no later than _____.

	YES	NO	STATUS
1. Are you a member of the C-TPAT program?			
2. If not, have you submitted a letter of intent to participate in the C-TPAT program? If yes, please attach a copy.			
3. Have you submitted a supply chain security profile to Customs?			
4. Has Customs signed the letter of intent and returned it to you? If yes, please attach a copy.			
5. Are you participating in the C-TPAT program as a (check all that apply)-			
✓ Air Carrier			
✓ Sea Carrier			
✓ Rail Carrier			
✓ Air Freight Consolidator			
✓ Ocean Transportation Intermediary – Forwarder/NVOCC			
✓ Trucker			
✓ Customs Broker			
✓ U.S. Marine Port Authority/Terminal Operator			
✓ Warehouse Operator			
✓ Other – Please Specify:			
Physical Security			
6. Are your buildings constructed of materials that resist unlawful entry and protect against outside intrusion?			
7. Are gates through which vehicles and/or personnel enter or exit manned and/or monitored?			
8. Are parking lots and other exterior areas enclosed by fencing?			
9. Is there lighting inside and outside each facility, including entrances and exits, cargo handling and storage areas, fence lines and parking areas?			
10. Do private passenger vehicles park in or adjacent to cargo handling and storage areas?			
11. Within the cargo facility, is fencing used to segregate domestic, international, high value, and hazardous cargo?			

	YES	NO	STATUS
12. Are locking devices used to secure external and internal doors, windows, gates and fences?			
13. Do management or security personnel control the issuance of locks, keys, passwords, pass cards, and similar access devices?			
14. Are alarm systems and/or video surveillance cameras utilized to monitor premises and prevent unauthorized access to cargo handling and storage areas?			
15. Do private passenger vehicles park in or adjacent to cargo handling, truck or container parking areas?			
16. Do you have a procedure for notifying Customs or local law enforcement of shippers and/or cargo with "irregular profiles" as that term is defined by Customs?			
Access Controls			
17. Do you have written procedures to prevent unauthorized access to your facilities?			
18. Do you have identification procedures for all employees, visitors and vendors?			
19. Are visitors and vendors issued temporary identification and escorted while in your facilities?			
20. Is there a screening procedure for non-cargo packages and mail?			
21. Is employee access restricted to areas needed for performance of duties only?			
22. Is there a procedure for checking all drivers and vehicles entering and departing your facilities?			
23. Do you have procedures to challenge unauthorized/unidentified persons and, if warranted, to report problems to local law enforcement officials?			
Personnel Security			
The following procedures must be followed in accordance with local laws and regulations.			
24. Do you conduct pre-employment screening and/or background checks on prospective employees?			
25. Do you verify the information provided by job applicants?			
26. Are current employees periodically re-checked?			
27. Do you have an internal written code of conduct?			
28. Do you have procedures to report and manage issues related to personnel security?			
29. Is there a procedure for removing identification, facility and system access for terminated employees?			
30. Do you maintain a current, permanent employee list which includes the name, date of birth, national identification, social security number (or other identifier at foreign facilities), and position held?			
31. Do you have a written policy that employees cooperate fully with Customs in implementing C-TPAT and other security programs?			
Employee Education and Awareness			
32. Do you have a security awareness program to educate employees to recognize internal conspiracies, maintain cargo integrity, protect access controls, and to identify and address security issues?			

	YES	NO	STATUS
33. Are employees made aware of company procedures regarding identifying and reporting questionable situations?			
34. Does your security awareness program encourage and reward employees for active participation in security programs?			
35. Are employees in the shipping and receiving areas, as well as those receiving and opening non-cargo packages and mail, trained in safety and security procedures?			
Documentation Security			
36. Do your security procedures ensure the accuracy and completeness of all information related to cargo and documentation?			
37. Do these procedures protect against the exchange, loss or introduction of erroneous information?			
38. Do you record, report and investigate shortages and overages?			
39. Do you track the movement of incoming and outgoing cargo?			
40. Do you safeguard access to your computer systems and information?			
41. Do you have written procedures regarding password security, logging off unattended terminals, and similar system access controls?			
42. Are you ABI, AES and AMS certified?			
43. Is there a written policy regarding unauthorized, improper use of the computer system, including tampering with, altering or removing data pertaining to cargo, customers and/or company proprietary data?			
Verification			
44. Has Customs conducted a verification of the security procedures identified in your supply chain security profile?			
45. Are the specific procedures identified in your supply chain security profile maintained in a verifiable format?			
Conveyance and Procedural Security			
46. Do you have security procedures to protect against the introduction of unauthorized personnel and material into containers, vehicles and your facilities?			
47. Do your procedures provide for reporting the discovery of unmanifested materials or signs of tampering to management and, if warranted, local law enforcement officials?			
48. Do your security procedures provide for the physical search of containers, including front wall, left side, right side, floor, ceiling/roof, inside/outside doors, and outside/undercarriage?			
49. Do you verify the presence of seals on containers and verify the actual seal number(s) with the seal number(s) recorded on the shipment documents?			
50. Do you have a procedure for reporting compromised seals?			
51. Is the loading and unloading of cargo supervised by company employees?			
52. Do you reconcile the weights, labels, marks and piece counts indicated on documents to the actual cargo being unloaded/loaded?			
53. Do you have a written procedure for detecting and reporting discrepancies, including shortages and overages?			
54. Do you segregate high-value and/or dangerous cargo in one or more separate areas within the warehouse or storage yard?			

	YES	NO	STATUS
55. Are containers and trucks parked in a secure area, and locked or monitored to prevent unauthorized access?			
Participation in Other Customs Industry Partnership Programs			
56. Are you a participant in (check only those that apply to your company):			
✓ Super Carrier Initiative			
✓ The Carrier Initiative Program (CIP)			
✓ The Business Anti-Smuggling Coalition (BASC)			
✓ The Free and Secure Trade (FAST) Program			
Service Provider Security			
57. Do you have written standards for your service providers' physical and procedural security?			
58. Do you have written internal controls for the selection of service providers?			
59. Have you requested information from your service providers regarding their participation in the following Customs Industry Partnership Programs (check only those which apply):			
✓ The Customs-Trade Partnership Against Terrorism			
✓ The Carrier Initiative Program (CIP)			
✓ The Super Carrier Initiative Program (SCIP)			
✓ The Business Anti-Smuggling Coalition (BASC)			
✓ The Free and Secure Trade (FAST) Program			
I.T. Security			
60. Do you have written procedures regarding password security, logging off unattended terminals, and similar system access controls?			
61. Do you have security in place to limit access to your computer system to only authorized users?			
62. Do your security procedures require authorized users to regularly change their passwords?			
63. Does your system have firewalls?			
64. Do you have anti-spam, anti-pop-up and anti-virus software installed on your computer system? Is it regularly updated?			
65. Is your computer system regularly backed-up and the back-up media maintained off-site?			
Security Plans			
66. What changes do you plan to make to improve security?			
67. Do you periodically and without notice conduct verifications of your security procedures?			

Additional Information:

I hereby certify that the information given by me on behalf of my company in completing this assessment is true and correct to the best of my knowledge. Should significant changes occur in our program, we will promptly provide you with written notification about those changes.

Company Name: _____ Date Prepared: _____

Prepared By: _____ Title: _____

Signature _____