

# CTPAT Security Questionnaire

It is our intent to work with our business partners as a team to improve supply chain security, as part of our commitment to the C-TPAT program. Our company, as well as our business partners must remain compliant with all security criteria. For more information regarding C-TPAT program requirements, please review the security criteria provided at: [http://www.cbp.gov/xp/cgov/trade/cargo\\_security/ctpat/security\\_criteria/](http://www.cbp.gov/xp/cgov/trade/cargo_security/ctpat/security_criteria/).

**Please answer each question in each section of the questionnaire. Please use **Notes** box to provide detailed overview and explanations, or how your answer applies to your company's business model.**

A) Company Name	
B) Name / Title of person completing Questionnaire	
C) Phone # / E-mail	
D) Today's Date	

## A. Certification in C-TPAT

1. Is your company C-TPAT certified?  Verified (by ECL)

Yes (please indicate how your company name is listed in the CTPAT portal) \_\_\_\_\_

No  Not C-TPAT Eligible

2. Is your company able to demonstrate that you are compliant with C-TPAT security criteria?  Verified (by ECL)

Yes (complete questionnaire) and/or  Yes, We have Written Company SOPs governing/ detailing each Process

No (please explain) **Notes -**

## B. Membership / Certification in other Supply Chain Security Program

1. Is your company a certified member of an equivalent World Customs Organization (WCO) accredited supply chain security program administered by your country's customs authority?  Verified (by ECL)

Yes (please provide proof of certification) \_\_\_\_\_

No

## C. Business Partner Requirements

1. Does your company have a written and verifiable process for the screening/selection of your business partners?  Verified (by ECL)

Yes (please provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process

No (please explain) **Notes -**

2. Does your company require your business partners (within your international supply chain) to demonstrate that they are compliant with C-TPAT security criteria?  Verified (by ECL)

Yes (please provide overview) and/or  Yes, We require them to complete a Security Questionnaire

No (please explain) **Notes -**

3. **Based on your Business Model, does your company conduct periodic reviews of your security procedures and facilities to verify compliance with C-TPAT security criteria?**  Verified (by ECL)
- Yes (please indicate how often)
- No (please explain) **Notes -**

### D. Container Inspection & Security

1. **Prior to stuffing, does your company conduct (or ensure they are conducted) container inspections to verify the physical integrity of the container and locking mechanisms of the doors?**  Verified (by ECL)
- Yes (please provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. **Is there a documented (i.e. checklist) 7-point or 17-point inspection system in place?**  Verified (by ECL)
- Yes (please provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
3. **Are empty or full containers stored in a secure area to prevent unauthorized access and/or manipulation?**  Verified (by ECL)
- Yes (please provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
4. **Are procedures in place for neutralizing unauthorized access and reporting a security breach?**  Verified (by ECL)
- Yes (please provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

### E. Container Seal Security

1. **Does your company use high security seals (ISO PAS 17712 compliant) for all shipments destined for the United States?**  Verified (by ECL)
- Yes (please provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. **Does your company have a copy of the ISO-Lab Test Certification Report for the seals you use?**  Verified (by ECL)
- Yes (please provide overview) and/or  Yes, We have a copy of the Lab-Test Certificate or equivalent
- No  n/a (please explain) **Notes -**
3. **Does your company have written procedures governing seal control and affixing protocols?**  Verified (by ECL)
- Yes (please provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
4. **Does your company have designated employees who maintain, distribute and affix container seals?**  Verified (by ECL)
- Yes (please provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

5. Does your company maintain a documented inventory for the issuance of seals?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
6. Does your company cross-reference/ verify the seal number & container number with shipping documents?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
7. Does your company written procedures include reporting compromised seals and or containers (i.e. security breach) to the appropriate authorities and / or U.S. Customs?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

### F. Shipment / Conveyance In-transit Security

1. Prior to releasing cargo, does your company positively identify the driver of trucking company?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. Does your company contract the highway carrier/ trucking company?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
3. Does the contract with the trucking company mandate/ stipulate security procedures?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
4. Does your company restrict the trucking company from sub-contracting to another highway carrier?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
5. Does your company ensure the trucking company follows In-Transit procedures (shipment integrity, container/ conveyance inspections, reporting incidents where unauthorized persons, unmanifested cargo, or signs of tampering conveyance are discovered)?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
6. Does your company ensure a tracking and monitoring system is in place for shipments/ conveyances?  Verified (by ECL)
- (Note: An adequate tracking & monitoring system would include, but not be limited to one of the following: Global Positioning System (GPS); Truck to Dispatch communication; other Web-Based Monitoring systems)**
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

7. **Does your company ensure a tracking and monitoring system is detailed, documented and verifiable?**  Verified (by ECL)  
(i.e. GPS reports, Truck to Dispatch communication logs, etc.)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
8. **Does your company ensure that GPS reports and/ or Truck to Dispatch communication logs are reviewed/ verified by management periodically?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
9. **Does your company ensure the trucking company's written procedures include reporting compromised seals and or containers (i.e. security breaches) to the appropriate authorities and/ or U.S. Customs?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
10. **Does your company ensure the highway carrier uses an ISO PAS high security seal or padlock in-transit?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
11. **Does your company ensure the trucking company's written procedure include designated, or pre-determined travel routes?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

### G. Procedural Security/ Document Processing

1. **Are procedures in place to ensure that all cargo information is legible, accurate, complete, and verified to protect against the improper exchange or loss of information?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. **Does all cargo information accurately include the description, weight, labels, marks and piece count as verified against the invoice, cargo manifest delivery or purchase order?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
3. **Are shortages, overages, and other significant discrepancies resolved or investigated?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
4. **Are cargo packages tamper-evident (tape, straps, plastic-wrap, etc.)?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
5. **When illegal or suspicious activities are detected, are the appropriate law enforcement and/ or U.S. Customs notified?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

## H. Agricultural Security

1. **Are there written procedures in place that are designed to prevent visible pest contamination to include compliance with Wood Packaging Materials (WPM) regulations? Do measures regarding WPM meet the International Plant Protection Convention's (IPPC) International Standards for Phytosanitary Measures No.15 (ISPM 15)?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. **Are Visible pest prevention measures in place?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
3. **Are cargo staging areas, and the immediate surrounding areas, inspected on a regular basis to ensure these areas remain free of visible pest contamination?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

## I. Personnel Security

1. **Are documented procedures in place to screen prospective and current employees?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. **Do documented procedures include verifying all application information (employment history, references, etc.)?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
3. **Does management maintain employee files with employee data (application, copy of government ID, training, HR notes, company-issued property, etc.)?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
4. **Are background checks, government/ police checks (or similar) conducted prior to employment?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
5. **Are drug tests conducted, prior to employment?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
6. **Once employed, are periodic checks and reinvestigations performed (regularly scheduled, based on cause, and/ or the sensitivity of the employee's position)?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

7. **Are documented procedures in place to remove identification, facility, and system access codes for terminated employees?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

### J. Physical Access Control

1. **Does the facility have security guards who control access?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. **Are security guards duties written and verifiable?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
3. **Does access control include positive identification of all employees, visitors, and vendors at all points of entry?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
4. **Are employees issued company photo-identification badges (ID)?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
5. **Are visitors and vendors required to present photo identification and issued temporary ID upon arrival?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
6. **Does management/ security adequately control the issuance and removal of employee, visitor, and vendor badges?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
7. **Does management/ security maintain a daily visitor/ vendor log?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
8. **Are there procedures in place to restrict access to 'sensitive' and/ or 'secure' areas of the facility?**  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

## K. Physical Security

1. Does the facility have barriers to prevent and/ or deter unauthorized access?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. Is perimeter fencing regularly inspected for integrity and damage?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
3. Are the facility buildings soundly constructed of materials to resist unlawful entry?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
4. Are the facility buildings regularly inspected by security or management and repairs made, as necessary?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
5. Does the facility have adequate lighting inside and outside, including; entrances and exits, cargo handling and storage areas, fence lines and parking areas?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
6. Does the facility have an intrusion alarm system?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
7. Is the facility interior monitored by video-surveillance cameras (packaging, cargo handling, storage areas, shipping/ receiving, server room, offices, etc.)?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
8. Is the facility have exterior monitored by video-surveillance cameras (packaging, cargo handling, storage areas, shipping/ receiving, server room, offices, etc.)?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

## L. Cybersecurity (Information Technology)

1. Does your company have Cybersecurity/ IT security policies, procedures, and standards in place?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. Does your company have a written Cybersecurity/ IT security policy?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

3. Does employees receive training on the Cybersecurity/ IT security policies, standards, and procedures?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
4. Are employees assigned individual accounts and passwords?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
5. Do automated system require and/ or force a periodic password change?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
6. Does the computer automatically lock or turn off when incorrect passwords are used; numerous failed login attempts occur, or after periods of inactivity?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
7. Is there a system in place to identify the abuse of the Cybersecurity/ IT policy, including improper access, tampering, or the altering of business data?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
8. Are all system violators subject to appropriate disciplinary actions for abuse?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
9. Is company data (shipping information, etc.) regularly backed up on an external storage device?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

### M. Security Education, Training and Threat Awareness Program

1. Does your company have training and threat awareness program?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
2. Have all employees received security training; including terrorist threat awareness and drug smuggling?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**
3. Do all employees know the company procedures/ policies for reporting security breaches, suspicious people and suspicious incidents?  Verified (by ECL)
- Yes (pleas provide overview) and/or  Yes, We have Written Company SOP governing/ detailing each Process
- No  n/a (please explain) **Notes -**

**4. Do all employees receive periodic, refresher security training?**

Verified (by ECL)

Yes (pleas provide overview) and/or

Yes, We have Written Company SOP governing/ detailing each Process

No  n/a (please explain)

Notes -

**5. Do employees in shipping/ receiving, truck drivers, and other sensitive areas of the facility receive additional, job-specific security training?**

Verified (by ECL)

Yes (pleas provide overview) and/or

Yes, We have Written Company SOP governing/ detailing each Process

No  n/a (please explain)

Notes -

**6. Is employees security training documented and verifiable?**

Verified (by ECL)

Yes (pleas provide overview) and/or

Yes, We have Written Company SOP governing/ detailing each Process

No  n/a (please explain)

Notes -

**N. Certification**

I certify that the information provided above is true to the best of my knowledge.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name (Printed or typed)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

\_\_\_\_\_  
Company