

**AIR SEA AMERICA & ASA BROKERS**

When completed please return to info@asamerica.com or fax to 253-395-9556

**C-TPAT SECURITY PROFILE QUESTIONNAIRE  
VENDOR SERVICE PROVIDERS**

Company Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
Date Business Started: \_\_\_\_\_  
# of Employees: \_\_\_\_\_  
Contact Person: \_\_\_\_\_  
Telephone Number: \_\_\_\_\_ Email Address: \_\_\_\_\_

Please advise YES or NO to the below questions:

**1. FACILITY ACCESS CONTROLS**

- a. Are visitor records or logs kept? \_\_\_\_\_
- b. Are visitors required to provide photo identification? \_\_\_\_\_
- c. Are there procedures for challenging and removing unauthorized persons from premises? \_\_\_\_\_
- d. Is the employee parking lot next to the building? \_\_\_\_\_
- e. Is arriving mail periodically screened? \_\_\_\_\_

**2. PHYSICAL SECURITY OF CARGO HANDLING/STORAGE AREA**

- a. Is private vehicles allowed near cargo facility? \_\_\_\_\_
- b. Does the facility have an alarm system? \_\_\_\_\_
- c. Are there cameras or surveillance equipment? \_\_\_\_\_
- d. Is cargo stored outside the facility? \_\_\_\_\_
- e. Is there an exterior fence around the facility? \_\_\_\_\_
- f. Are there locks on doors and windows? \_\_\_\_\_
- g. Are all entrances to the facility secure? \_\_\_\_\_
- h. Is there adequate lighting in parking lots and near the facility? \_\_\_\_\_

**3. IDENTIFICATION OF EMPLOYEES**

- a. Is photo identification required? \_\_\_\_\_
- b. Are unauthorized personnel prohibited from entering secured areas? \_\_\_\_\_
- c. Is there an employee manual kept? \_\_\_\_\_

**4. HIRING and TERMINATION POLICIES**

- a. Are employee applications kept on all employees? \_\_\_\_\_
- b. Is information from the application and interview verified? \_\_\_\_\_
- c. Are background checks conducted on all employees? \_\_\_\_\_
- d. Is there a periodic check and reinvestigation performed on all Employees based on caused or employee's position? \_\_\_\_\_

e. Are there procedures in place to remove identification, facility and systems access for terminated employees? \_\_\_\_\_

5. EMPLOYEE TRAINING:

- a. Is there a security awareness program? \_\_\_\_\_
- b. Does the program include cargo integrity, recognition of internal conspiracies, and protecting access controls? \_\_\_\_\_
- c. Are logs kept listing employee training classes and who participated? \_\_\_\_\_
- d. Are there evacuation and emergency procedures? \_\_\_\_\_
- e. Are there written procedures that address C-TPAT awareness that has been designed to maintain a secure Supply Chain? \_\_\_\_\_
- f. Are there random audits to review security procedures? \_\_\_\_\_
- g. Are records kept on action taken for corrective action of security failures? \_\_\_\_\_
- h. Is there a periodic assessment of all security procedures to to determine if processes need updating or improvement? \_\_\_\_\_

6. INFORMATION TECHNOLOGY SECURITY

- a. Are there security policies in place? \_\_\_\_\_
- b. Are employees trained in these security procedures? \_\_\_\_\_
- c. Does email and computer access require assigned accounts and periodic changing of passwords? \_\_\_\_\_
- d. Is the company IT system secure? \_\_\_\_\_
- e. Are the employees aware that company email is not confidential? \_\_\_\_\_
- f. Are servers password protected? \_\_\_\_\_
- g. Are there security systems backup? \_\_\_\_\_
- h. Is current anti-virus software and firewall protection installed? \_\_\_\_\_

7. ELECTRONIC DATA EXCHANGE

- a. Are procedures in place to ensure all information used in the clearance of cargo complete and accurate? \_\_\_\_\_
- b. Are there procedures to protect computer access to EDI systems? \_\_\_\_\_

8. PROCESSES FOR SELECTION OF BUSINESS PARTNERS

- a. Are there written and verifiable processes for selection of business partners? \_\_\_\_\_
- b. Are all supply chain partners considered; foreign manufacturers, freight forwarders, ocean carriers, airlines, truck carriers and Customs Brokers? \_\_\_\_\_
- c. Are questionnaires sent to existing and prospective business partners to determine if they are C-TPAT certified or meet C-TPAT requirements? \_\_\_\_\_
- d. Are completed questionnaire records kept? \_\_\_\_\_
- e. Are SVI numbers of C-TPAT members kept? \_\_\_\_\_
- f. Based on risk assessment, does the firm conduct site visits to verify Business partner's adherence to C-TPAT guidelines? \_\_\_\_\_
- g. Does your company participate in a supply chain security program administered by a foreign Customs Administration? If yes, please state the name of the program: \_\_\_\_\_

## 9. CUSTOMS SCREENING PROCEDURES

- a. Are there documented procedures to screen prospective customers for Financial soundness and ability to meet security requirements? \_\_\_\_\_
- b. Is a risk based approach used in customer screening procedures? \_\_\_\_\_

## 10. CONTAINER SECURITY (For Importers)

- a. Do all Container Seals exceed the current PAS ISO 17712 Standard for high security seals? \_\_\_\_\_
- b. Does your supplier use the import vendor Container 7-POINT INSPECTION REPORT? C-TPAT recommends the usage and documented evidence the report has been completed, signed by the person who inspected the container and date. \_\_\_\_\_

## IMPORT VENDOR CONTAINER 7 POINT INSPECTION REPORT

- 1. Outside/Undercarriage
  - \_\_\_\_\_ Check for structural damage (dents, holes, repairs)
  - \_\_\_\_\_ Support Beams are visible
  - \_\_\_\_\_ Ensure no foreign objects are mounted on container
  
- 2. Inside / Outside Doors
  - \_\_\_\_\_ Ensure locks are secure and reliable
  - \_\_\_\_\_ Check for loose bolts
  - \_\_\_\_\_ Ensure hinges are secure and reliable
  
- 3. Right Side
  - \_\_\_\_\_ Look for unusual repairs to structural beams
  - \_\_\_\_\_ Repairs to the inside wall must be visible on the outside as well as inside.
  
- 4. Left Side
  - \_\_\_\_\_ Look for unusual repairs to structural beams
  - \_\_\_\_\_ Repairs to the inside wall must be visible on the outside as well as inside.
  
- 5. Front Wall
  - \_\_\_\_\_ Front wall should be made of corrugated material.
  - \_\_\_\_\_ Interior Blocks are visible and not false, Absent or cardboard blocks are not normal.
  - \_\_\_\_\_ Ensure vents are visible
  
- 6. Ceiling/Roof
  - \_\_\_\_\_ Ensure support beams are visible

- Ensure ventilation holes are visible. They should not be covered or absent.
- Ensure no foreign objects are mounted to the container.

7. Floor

- Ensure floor of container is flat.
- Ensure floor is of uniform height.
- Look for unusual repairs to the floor.

8. Seal Verification

- Seal properly affixed.
- Seal meets or exceeds PAS ISO 17712
- Ensure seal is not broken/damaged.

I have visually inspected and verified, to the best of my ability, the condition of the container noted above. I confirm that the container is structurally sound, weather tight, has no false compartments, and the locking mechanisms are in good order and show no visible signs of being tampered with.

Inspected by: \_\_\_\_\_ Date: \_\_\_\_\_

Seal affixed and verified by: \_\_\_\_\_ Date: \_\_\_\_\_

**CERTIFICATION STATEMENT**

I hereby certify that the information given to me in the questionnaire is true and correct to the best of my knowledge.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

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Title