

\* 1. Please provide your Company Name

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2. What is the complete address of the facility?

If your company has multiple facilities and you are submitting only one questionnaire, please provide the address of your corporate office or other primary location.

	*
Address	<input type="text"/>
City	<input type="text"/>
State/Province	<input type="text"/>
Postal Code	<input type="text"/>
Country	<input type="text"/>

3. Please indicate the service that your company provides to Automated Logistics Systems, LLC.

Check all that apply

- ALS Worldwide Partner
- Sea Carrier
- Air Carrier
- U.S. Ground Transportation
- U.S. Warehousing
- U.S. Customs Brokerage
- Other, please specify

4. Who is the person responsible for the security of your Company?

	*
First Name	<input type="text"/>

Last Name		<input type="text"/>
Title		<input type="text"/>
Address		<input type="text"/>
City		<input type="text"/>
State/Province		<input type="text"/>
Postal Code		<input type="text"/>
Country		<input type="text"/>
Telephone Number		<input type="text"/>
Fax Number		<input type="text"/>
E-Mail Address		<input type="text"/>

### Physical Security

C-TPAT Requirement: Buildings must be constructed of materials that resist unlawful entry. The integrity of structures must be maintained by periodic inspection and repair.

\* 5. Are all buildings constructed of materials that resist unlawful entry and protect against outside intrusion?

Yes

No (please comment)

C-TPAT Requirement: Perimeter fencing should enclose the areas around cargo handling and storage facilities. Interior fencing within a cargo handling structure should be used to segregate domestic, international, high value and hazardous cargo. All fencing must be regularly inspected for integrity and damage.

\* 6. Are cargo handling and storage facilities enclosed by fencing?

Yes

No (please comment)

\* 7. Do you segregate high-value and/or dangerous cargo in a secure area within the warehouse or storage yard?

Yes

No (please comment)

C-TPAT Requirement: Gates through which vehicles and/or personnel enter or exit must be manned and/or monitored. The number of gates should be kept to the minimum necessary for proper access and safety.

\* 8. Are the gates through which vehicles enter cargo handling and storage facilities manned and/or monitored at all times when the facility is open?

Yes

No (please comment)

\* 9. Are the entrance gates closed and locked when the facility is closed?

Yes

No (please comment)

C-TPAT Requirement: Alarm systems and video surveillance cameras should be utilized to monitor premises and prevent unauthorized access to cargo handling and storage areas.

\* 10. Do you use surveillance cameras to monitor the entrances to the facility and the cargo handling and storage areas?

If yes, please answer question 11. If no, please skip to question 12.

Yes

No (please comment)

11. Do you store the recorded data for at least 30 days or more?

Yes

No (please comment)

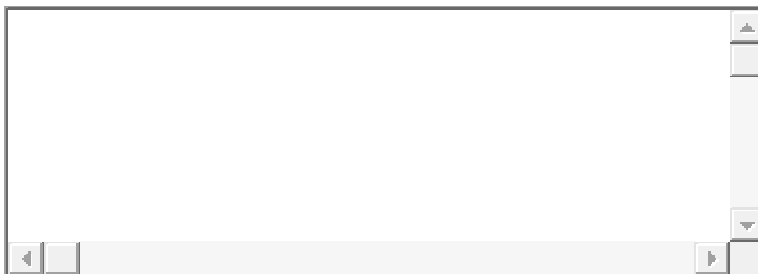
\* 12. Is the facility equipped with an alarm system to monitor the entrances to the facility?

If yes, please answer questions 13 through 18. If no, skip to question 19.

Yes

No (please comment)

13. Please describe the procedure that is followed by the alarm monitoring company when it receives a signal that the system has been breached.



14. Which employees have the code to arm and disarm the alarm system?  
Please provide titles only. No individual names required.

15. Does each employee have a unique code?

- Yes
- No (please comment)

16. Are the codes changed periodically?  
If yes, please answer question 17. If no, skip to question 18.

- Yes
- No (please comment)

17. If codes are changed periodically, how often?

18. Does the system monitor who arms and disarms the system and when?

- Yes
- No (please comment)

\* 19. Do you have written procedures to report unauthorized entry into the facility to local law enforcement officials?

Yes

No (please comment)

\* 20. Do you have a communication system to contact internal security personnel and/or local law enforcement authorities?

Yes

No (please comment)

C-TPAT Requirement: Adequate lighting must be provided inside and outside the facility including the following areas: entrances and exits, cargo handling, storage areas, fence lines and parking areas.

\* 21. Is there adequate lighting inside and outside the facility, including parking areas, fence lines, entrances and exits, and cargo handling and storage areas?

Yes

No (please comment)

C-TPAT Requirement: All external and internal windows, gates and fences must be secured with locking devices. Management or security personnel must control the issuance of all locks and keys.

\* 22. Are locking devices used to secure external and internal doors, windows, gates and fences?

If yes, please answer questions 23. If no, skip to question 24.

Yes

No (please comment)

23. Please describe the locking mechanisms used to secure external and internal doors, windows, gates and fences.

(manual, electronic, etc.)

\* 24. Do management and/or security personnel control the issuance of keys or other access devices?

Yes

No (please comment)

C-TPAT Requirement: Private passenger vehicles should be prohibited from parking in or adjacent to cargo handling and storage areas.

\* 25. Are there separate parking areas for employee/visitor vehicles and the shipping/loading dock and cargo areas?

Yes

No (please comment)

Access Controls

C-TPAT Requirement: An employee identification system must be in place for positive identification and access control purposes. Employees should only be given access to those secure areas needed for the performance of their duties. Company management or security personnel must adequately control the issuance and removal of employee, visitor and vendor identification badges. Procedures for the issuance, removal and changing of access devices (e.g. keys, key cards, etc.) must be documented.

\* 26. How many employees do you have at this facility?

\* 27. Do you have an employee identification system, which provides for the positive identification of employees before they can enter the facility?

Yes

No (please comment)

\* 28. Do employees have access only to those areas in which they perform their duties?

Yes

No (please comment)

\* 29. Do management and/or security personnel control the issuance of employee, visitor and vendor identification badges?

Yes

No (please comment)

C-TPAT Requirement: Visitors must present photo identification for documentation purposes upon arrival. All visitors should be escorted and visibly display temporary identification.

\* 30. Do you maintain a written log in which visitors sign in with their name, company, date of visit and time of arrival and departure?

Yes

No (please comment)

\* 31. Are visitors required to present photo identification upon arrival?

Yes

No (please comment)

\* 32. Are visitors required to visibly display a temporary identification badge while on the premises?

Yes

No (please comment)

\* 33. Are visitors escorted at all times by company personnel while on the premises?

Yes

No (please comment)

C-TPAT Requirement: Proper vendor ID and/or photo identification must be presented for documentation purposes upon arrival by all vendors. Arriving packages and mail should be periodically screened before being disseminated.

\* 34. Are vendors and other delivery personnel required to present photo identification upon arrival?

Yes

No (please comment)

\* 35. Are arriving packages and mail periodically screened before delivery within the company?

Yes

No (please comment)

C-TPAT Requirement: Procedures must be in place to identify, challenge and address unauthorized/unidentified persons.

\* 36. Do you have identification procedures for all employees, visitors and vendors at all points of entry?

Yes

No (please comment)

\* 37. Do you have procedures to challenge unauthorized/unidentified persons and to report problems to local law enforcement officials?

Yes

No (please comment)

## Procedural Security and Container Security

C-TPAT Requirement: Arriving cargo should be reconciled against information on the cargo manifest. The cargo should be accurately described, weighed, labeled, marked, counted and verified. Departing cargo should be checked against purchase or delivery orders. Drivers delivering or receiving cargo must be positively identified before cargo is received or released. All shortages, overages and other significant discrepancies or anomalies must be resolved and/or investigated appropriately. CBP and/or other appropriate law enforcement agencies must be notified if illegal or suspicious activities are detected.

\* 38. Do you have a designated security officer to supervise the unloading of cargo from containers, trailers and railcars?

Yes

No (please comment)

\* 39. Do you verify the quantity and identity of goods against the shipping documents as they are unloaded?

Yes

No (please comment)

\* 40. Do you have procedures to resolve discrepancies prior to release?

Yes

No (please comment)

\* 41. Do you track the timeliness of incoming and outgoing cargo movements?

Yes

No (please comment)

\* 42. Are drivers delivering cargo positively identified before the shipment is accepted?

Yes

No (please comment)

\* 43. Do you maintain a written log of the identity of drivers who deliver cargo and the number of the container or trailer that was delivered?

Yes

No (please comment)

\* 44. Are drivers picking up cargo positively identified before the shipment is released?

Yes

No (please comment)

\* 45. Do you maintain a written log of the identity of drivers who pick up cargo and the number of the container or trailer that was picked up?

Yes

No (please comment)

\* 46. Do you have procedures to ensure that all information related to shipments is protected against loss or the introduction of erroneous information?

Yes

No (please comment)

\* 47. Do you have procedures to ensure that all shipping documents are legible, complete and accurate?

Yes

No (please comment)

C-TPAT Requirement: Container integrity must be maintained to protect against the introduction of unauthorized material and/or persons. At point of stuffing, procedures must be in place to properly seal and maintain the integrity of the shipping containers. A high security seal must be affixed to all loaded C-TPAT importer containers bound for the U.S. All seals must meet or exceed the current PAS ISO 17712 standards for high security seals. Procedures must be in place to verify the physical integrity of the container structure prior to stuffing, to include the reliability of the locking mechanisms of the doors. A seven-point inspection process is recommended for all containers: Front wall Left side Right side Ceiling/Roof Inside/Outside doors Outside/Undercarriage

\* 48. Do you verify the physical integrity of the container structure upon its arrival at your facility and/or prior to unloading?

If yes, please answer question 49 If no, skip to question 50.

Yes

No (please comment)

49. Please indicate which points of the container's structure are examined for physical integrity.

Front wall (to detect any false walls)

Left side

Right side

Floor

Ceiling/Roof

Inside/outside doors

Outside/undercarriage

C-TPAT Requirement: Written procedures must stipulate how seals are to be controlled and affixed to loaded containers. Procedures must be in place for recognizing and reporting compromised seals and/or containers to U.S. Customs and Border Protection or the appropriate foreign authority. Only designated employees should distribute container seals for integrity purposes.

\* 50. If you load containers at this facility, what type of container seals do you use?

- Bolt - Meeting or exceeding ISO 17712 specifications
- Bolt - Non ISO
- Cable
- Aluminum
- Plastic
- No Seals Used
- Containers are not loaded at this facility
- Other:

\* 51. Do you maintain an inventory of seals?

If yes, please answer question 52. If no, skip to question 53.

- Yes
- No (please comment)

52. Do you maintain a written record of the seals numbers in inventory and a log book identifying when a seal is used and the container number on which it was installed?

- Yes
- No (please comment)

\* 53. Do you verify the presence of a seal before accepting delivery of a loaded container?

Yes

No (please comment)

\* 54. Do you verify the seal number against the seal number recorded on the shipping documents prior to opening the container?

Yes

No (please comment)

\* 55. If there is evidence of tampering, if the seal is missing or if the physical seal number does not match the shipping documents, do you move the container to a secure area and hold it intact until the discrepancy is resolved?

Yes

No (please comment)

C-TPAT Requirement: Containers must be stored in a secure area to prevent unauthorized access and/or manipulation. Procedures must be in place for reporting and neutralizing unauthorized entry into containers or container storage areas.

\* 56. If you are unable to immediately dock the container and unload, do you store it in a secure area to prevent unauthorized access and/or tampering?

Yes

No (please comment)

\* 57. Do you have written procedures to report unauthorized entry into containers or container storage areas to local law enforcement officials?

Yes

No (please comment)

\* 58. Do you have written procedures to notify CBP and/or local law enforcement officials when anomalies or illegal activities are suspected?

Yes

No (please comment)

#### Information Technology Security

C-TPAT Requirement: Automated systems must use individually assigned accounts that require a periodic change of password. IT security policies, procedures and standards must be in place and provided to employees in the form of training.

\* 59. Are your computer systems and the information stored on them protected against unauthorized access?

Yes

No (please comment)

\* 60. Do you use individually assigned accounts for personnel to access your information technology systems?

Yes

No (please comment)

\* 61. Do the accounts limit access to information and programs on the basis of an employee's need to know and need to do for the performance of her/his duties?

Yes

No (please comment)

\* 62. Do you require users to periodically change the passwords used to access your information technology systems?

Yes

No (please comment)

\* 63. Do you use firewalls to protect your information technology systems from unauthorized access from the internet?

Yes

No (please comment)

C-TPAT Requirement: A system must be in place to identify the abuse of IT including improper access, tampering or the altering of business data. All system violators must be subject to appropriate disciplinary actions for abuse.

\* 64. Do you have a system to identify the abuse of your information technology systems including the improper access, tampering or altering of business data?

Yes

No (please comment)

## Personnel Security

The following personnel security procedures must be followed in accordance with local laws and regulations.

C-TPAT Requirement: Consistent with foreign, federal, state and local regulations, background checks and investigations should be conducted for prospective employees. Periodic checks and reinvestigations should be performed based on cause and/or the sensitivity of the employee's position.

\* 65. Do you conduct pre-employment screening and background checks on prospective employees?

If yes, please answer question 66. If no, skip to question 67.

Yes

No (please comment)

66. Please describe the information reviewed in the background checks.

\* 67. Do you periodically conduct background checks on current employees based on cause and/or the sensitivity of the employee's position?

Yes

No (please comment)

C-TPAT Requirement: Application information, such as employment history and references must be verified prior to employment.

\* 68. Do you verify the information provided by job applicants, including employment history and references?

Yes

No (please comment)

\* 69. Do you have procedures to report and manage problems related to personnel security?

Yes

No (please comment)

C-TPAT Requirement: Companies must have procedures in place to remove identification; facility and system access for terminated employees.

\* 70. Do you have procedures to remove identification badges and to deny facility and information systems access for terminated employees?

Yes

No (please comment)

## Employee Education and Threat Awareness

C-TPAT Requirement: A threat awareness program should be established and maintained by security personnel to recognize and foster awareness of the threat posed by terrorists at each point in the supply chain. Employees must be made aware of the procedures the company has in place to address a situation and how to report it. Additional training should be provided to employees in the shipping and receiving areas, as well as those receiving and opening mail. Additionally, specific training should be offered to assist employees in maintaining cargo integrity, recognizing internal conspiracies and protecting access controls. These programs should offer incentives for active employee participation.

\* 71. Do you have an employee security training program?

Yes

No (please comment)

\* 72. Do you have a security awareness program to educate employees to recognize internal conspiracies, maintain cargo integrity and to identify and address security issues?

Yes

No (please comment)

\* 73. Does your security program encourage and reward employees for active participation in security programs?

Yes

No (please comment)

\* 74. Do you have a threat awareness program established and maintained by security personnel and designed to recognize and foster awareness of the threat posed by terrorists and contraband smugglers?

Yes

No (please comment)

#### Section 10: Participation in other Customs security initiatives

\* 75. Are you participating in any Security Initiatives administered by your local Customs authority?

If yes, please answer question number 76 and 77. If no, please skip to question 78

Yes  No or N/A

76. Please provide the name (or names) of the Customs initiative

77. What is your status in this initiative?

example: Certified, Validated, Approved, etc...

Section 11: Verification

\* 78. Are the specific procedures identified in this questionnaire response maintained in a verifiable format?

- Yes
- No (please comment)

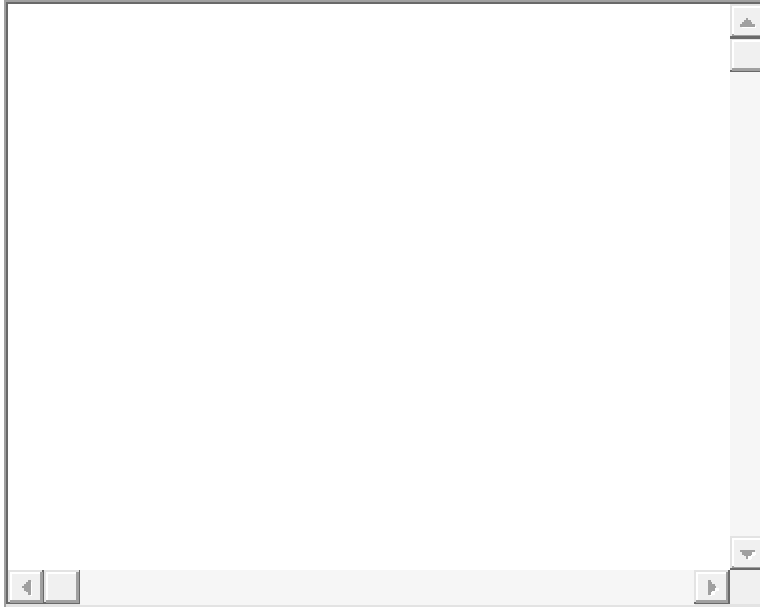
79. Name of Individual Completing the Questionnaire

	*
First Name	<input type="text"/>
Last Name	<input type="text"/>
Title	<input type="text"/>
Address	<input type="text"/>
City	<input type="text"/>
State/Province	<input type="text"/>
Postal Code	<input type="text"/>
Country	<input type="text"/>
Telephone Number	<input type="text"/>
Fax Number	<input type="text"/>
E-Mail Address	<input type="text"/>

\* 80. I hereby certify that I am the person identified in question 76 of this questionnaire, that I am an officer or employee of the company identified in question 1 of this questionnaire, that I possess the knowledge and/or information necessary to accurately complete this questionnaire and that I have answered all questions accurately and truthfully to the best of my knowledge.

- Yes  No

## 81. Additional Comments

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Complete Survey

