

# Customs-Trade Partnership against Terrorism

## Supply Chain Security Profile

### Service Provider Assessment (Trucker)

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 FAST participant? If not, have you developed a supply chain security profile?			
2. Has Customs conducted a verification of the security procedures identified in your supply chain security profile?			
3. 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:			
<b>Physical Security</b>			
4. Are your facilities constructed of materials that resist unlawful entry and protect against outside intrusion?			
5. Are gates through which vehicles and/or personnel enter or exit your facilities manned and/or monitored?			
6. Are parking lots and other exterior areas enclosed by fencing?			
7. Is there lighting inside and outside each facility, including entrances and exits, cargo handling and storage areas, fence lines and parking areas?			
8. Are locking devices used to secure external and internal doors, windows, gates and fences?			
9. Do management or security personnel control the issuance of locks, keys, passwords, pass cards, and similar access devices?			
10. Are alarm systems and/or video surveillance cameras utilized to monitor premises and prevent unauthorized access to cargo and vehicles?			
11. Do private passenger vehicles park in or adjacent to cargo handling, truck or container parking?			

12. Is there adequate lighting inside and outside the facility, including parking areas?			
13. Do you segregate high-value and/or dangerous cargo in a secure area within the warehouse or storage yard?			
14. Do you have a communication system to contact internal security personnel and/or local law enforcement authorities?			
<b>Access Controls</b>	YES	NO	STATUS
15. Do you have procedures to prevent unauthorized access to trucks, cargo and containers?			
16. Do you have identification procedures for all employees, visitors and vendors?			
17. Are visitors and vendors issued temporary identification and escorted while in the facility?			
18. Is there a screening procedure for delivery of non-cargo packages and mail?			
19. Is employee access restricted to areas needed for performance of duties only?			
20. Is there a procedure for checking all drivers and vehicles entering and exiting each facility?			
21. Do you have procedures to challenge unauthorized/unidentified persons and, if warranted, to report problems to local law enforcement officials?			
<b>Personnel Security</b>			
<b>The following procedures must be followed in accordance with local laws and regulations.</b>			
22. Do you conduct pre-employment screening and background checks on prospective employees?			
23. Do you verify the information provided by job applicants?			
24. Are current employees periodically re-checked?			
25. Do you have an internal written code of conduct?			
26. Do you have procedures to report and manage issues related to personnel security?			
27. Is there a procedure for removing identification, facility and system access for terminated employees?			
28. Do you hire owner-operators? If so, are they subject to the same security screening and requirements as your employees?			
29. Do you maintain a current, permanent employee list which includes the name, date of birth, national identification, social security number (other identifier at foreign facilities), and position held?			
30. Do you have a written policy that employees cooperate fully with Customs in implementing C-TPAT and other security programs?			
<b>Employee Education and Awareness</b>			
31. Do you have a security awareness program to educate drivers and employees to recognize internal conspiracies, maintain cargo integrity, protect access controls, and identify and address security issues?			
32. Are drivers and employees made aware of company procedures regarding identifying and reporting an incident or situation?			
33. Are drivers and employees, as well as those receiving and opening non-cargo packages and mail, trained in safety and security procedures?			
34. Does the security awareness program encourage and reward drivers and employees for active participation in security programs?			

<b>Documentation Security</b>	YES	NO	STATUS
35. Do your security procedures ensure the accuracy and completeness of all information related to cargo and manifests?			
36. Do these procedures protect against the exchange, loss or introduction of erroneous information?			
37. Do you record, report and investigate shortages and overages?			
38. Do you use GPS or other means to track the movement of cargo and vehicles?			
39. Do you safeguard access to your computer systems and information?			
40. Is there a written policy regarding unauthorized, improper use of the system, including tampering with, altering and/or removing data pertaining to cargo, customers and the company?			
41. Are you AMS certified?			
<b>Conveyance and Procedural Security</b>			
42. Do you have security procedures to protect against the introduction of unauthorized personnel and material into containers and vehicles?			
43. Do your procedures provide for reporting the discovery of unmanifested materials or signs of tampering to management and, if warranted, local law enforcement officials?			
44. Do your security procedures provide for the physical search of all readily accessible truck, trailer and container areas, including tires, front wall, left side, right side, floor, ceiling/roof, inside/outside doors, outside/undercarriage and other compartments?			
45. 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?			
46. Do you have a written procedure for reporting compromised seals?			
47. Is the loading and unloading of cargo supervised by employees?			
48. Do you reconcile the weights, labels, marks and piece counts indicated on the documents to the actual cargo being unloaded/loaded?			
49. Do you have a written procedure for detecting and reporting discrepancies, including shortages and overages?			
50. Is high-value and/or dangerous cargo segregated in one or more areas separate from other cargo?			
51. Are containers and trucks parked in a secure area, and locked and/or monitored to prevent unauthorized access?			
52. Do you have procedures for submitting timely, correct, accurate and legible cargo and driver manifests to Customs?			
<b>Participation in Other Customs Industry Partnership Programs</b>			
53. Are you a participant in (check only those that apply to your company):			
✓ The Carrier Initiative Program (CIP)			
✓ The Super Carrier Initiative Program (SCIP)			
✓ The Business Anti-Smuggling Coalition (BASC)			
✓ The Free and Secure Trade (FAST) Program			

<b>Service Provider Security</b>			
	YES	NO	STATUS
54. Do you have written internal controls for the selection of service providers?			
55. Do you have written standards for your service providers' physical and procedural security?			
<b>I.T. Security</b>			
56. Do you have written procedures regarding password security, logging off unattended terminals, and similar system access controls?			
57. Do you have security in place to limit access to your computer system to only authorized users?			
58. Do your security procedures require authorized users to regularly change their passwords?			
59. Does your system have firewalls?			
60. Do you have anti-spam, anti-pop-up and anti-virus software installed on your computer system? Is it regularly updated?			
61. Is your computer system regularly backed-up and the back-up media maintained off-site?			
<b>Security Plans</b>			
62. What changes do you plan to make to improve security?			
63. Do you periodically and without notice conduct verifications of your security procedures?			

Additional Information:

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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 of those changes.

Company Name: \_\_\_\_\_ Date Prepared: \_\_\_\_\_

Prepared By: \_\_\_\_\_ Title: \_\_\_\_\_

Signature \_\_\_\_\_