



C-TPAT Security Questionnaire for Licensed U.S. Customs Brokers

These are general questions that should be answered on a case by case basis. Depending on the company's size and structure the questions may not be applicable to all.

Business Partner Requirement: Brokers must have written and verifiable processes for the screening of new business partners, beyond financial soundness, to include security indicators.

Describe the procedures in place that address factors or practices that trigger additional scrutiny of the import transaction as informed by CBP.

Container and Trailer Security: Container integrity must be maintained to protect against the introduction of unauthorized material and/or persons.

Describe the methods used to convey the criticality of having security procedures in place to inspect, properly seal, and maintain the integrity of shipping containers and trailers.

Physical Access Controls: Access controls must include the positive identification of all employees, visitors and vendors at all points of entry.

Describe how all employees, visitors, and vendors are identified prior to entering your place of business.

Describe the procedures in place to identify, challenge and address unauthorized and/or unidentified persons.

Procedural Security: Security measures must be in place to ensure the integrity of any data or documents relevant to the security of processes, transportation, handling, and storage of cargo in the supply chain.

List the procedures for notifying CBP and other law enforcement agencies whenever anomalies or illegal activities related to security issues are detected or suspected.

Documentation Processing: Procedures must be in place to ensure that all information used in the clearing of cargo is legible and protected against the exchange, loss, or introduction of erroneous information.

Please describe your documentation controls, to include the review of documentation for completeness and alerting the importer/exporter of any anomalies.

Information Technology Security: Measures must be in place to safeguard computer access and information.

Describe the procedures in place to protect your computer systems from infiltration.

Security Training and Awareness: As a liaison between CBP and the trade community, the broker should create opportunities to educate the importing community on C-TPAT policy.

Describe any security awareness programs or outreach programs you offer to your importers/exporters.

C-TPAT Compliance:

Are you eligible for C-TPAT Certification?

Yes No Not Applicable

Have you applied for certification? If yes, have you received your certification?

If you answer “yes” to the last question, please provide with your questionnaire a copy of your C-TPAT certification SVI number.

Other Security Accredited Organizations:

Do you participate in other programs designed to certify supply chain security?

If yes, please provide the name and contact information of these organization(s) and advise your level of participation. If you have received any certification from these organizations, kindly provide documents that reflect your certification.

Signature:

Company Name and Address:

Manager Name:

Manager Signature:

Date:

*After the form is completed, kindly send via fax or PDF back to your Penrod representative.
Sorry, we cannot accept typed signatures; we must have an actual signature.*