



OCEAN TRANSPORTATION INTERMEDIARIES AND NVOCCS

Where an NVOCC or OTI outsources or contracts elements of their supply chain, such as a foreign facility, conveyance, domestic warehouse, or other elements, they must work with these business partners to ensure that pertinent security measures are in place and adhered to throughout the supply chain.

Business Partner Requirements: OTIs and NVOCCs must have written and verifiable processes for the screening and selection of business partners including consolidators, contractors, carriers, and vendors.

Describe the review process used to determine that your business partners have adequate security measures in place to protect the integrity of the supply chain.

Container Security: NVOCCs and OTIs should ensure that all contracted service providers have procedures in place to maintain container integrity.

Describe the procedures your partners have in place verify the physical integrity of the container structure.

List the procedures used to control and affix seals to loaded containers.

How are empty and loaded containers stored at the point of stuffing to prevent unauthorized access?

Physical Access Controls: Access controls prevent unauthorized entry to facilities, maintain control of employees and visitors and protect company assets.

Describe how all employees, visitors, and vendors are identified prior to entering the facility.

[]

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

[]

Personnel Security: Processes must be in place to screen prospective employees and to periodically check current employees.

What kind of employment screening, interviewing, background checks and application verifications are used prior to hiring?

[]

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

How is the shipping information received to ensure that it is legible, complete, accurate and protected against the exchange, loss or introduction of erroneous information?

[]

How is arriving cargo reconciled against information on the cargo manifest?

[]

How are cargo discrepancies or anomalies investigated?

[]

Security Training and Threat Awareness: Programs should be established to foster threat awareness at each point in the supply chain.

What kind of security awareness programs does the company provide to employees including recognizing internal conspiracies, maintaining cargo integrity, and determining and addressing unauthorized access?

[]

How do these programs encourage active employee participation in security controls?

Physical Security: Cargo handling and storage facilities in domestic and foreign locations must have physical barriers and deterrents that guard against unauthorized access.

When an OTI or NVOCC arranges for cargo to be stuffed in a container at the point of origin, please describe the measures used to determine that the loading facility is secure.

Information Technology Security: Information Technology policies, procedures and standards must be in place and provided to employees in the form of training.

Is a system in place to identify the abuse of information technology including improper access, tampering or the altering of business data?

C-TPAT Compliance:

Are you eligible for C-TPAT Certification?

Yes No Not Applicable

(You must be conducting business within the United States to receive certification).

Have you applied for certification? If yes, have you received your certification? Please provide a copy of your C-TPAT Status Verification Interface number (SVI).

Other Security Accredited Organizations:

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

Yes No

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 Printed:

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.