



PENROD

AIR FREIGHT CONSOLIDATORS / OCEAN TRANSPORTATION INTERMEDIARIES AND NVOCCS

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

Procedural Security:

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

Documentation Processing: Consolidators should make their best efforts to ensure that all information provided by the importer/exporter, freight forwarder, etc., and used in the clearing of merchandise/cargo, is legible and protected against the exchange, loss or introduction of erroneous information.

For accuracy purposes is the information received including the shipper and consignee name and address, first and second notify parties, description, weight, quantity, and unit of measure being maintained? Please explain your answer.

List the procedures for recording, reporting, and or investigating shortages and overages of merchandise / cargo. Use additional pages if necessary to answer.

List the procedures for tracking the movement of incoming and outgoing cargo.

How does your company keep computer access and information safeguarded?

Does the company participate in the Automated Manifested System (AMS) and are all submissions complete, legible, accurate and submitted in a timely manner pursuant to Customs regulations? Please explain.

Personnel Security:

What internal processes does your company employ to screen perspective employees, and verify applications?

Do these processes include background checks and other tests depending on the particular employee function involved? Please explain.

Are these processes consistent with federal, state, and local regulations and statues?

Education and Training Awareness: A security awareness program should include notification being provided to Customs and other law enforcement agencies whenever anomalies or illegal activities related to security are detected or suspected.

Are there recognition programs for active employee participation in security controls?

What training in documentation fraud and computer security controls does the company have in place?

C-TPAT Compliance:

Are you eligible for C-TPAT Certification? Yes or No
(You must be conducting business within the United States to receive certification).

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 Status Verification Interface number (SVI).

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.

Company Name:

Signature:

Manager Name:

Date:

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