

## C-TPAT Self-Assessment - Manufacturing & Warehousing

| Task #   | Section/Control Description  | Answer:<br>Yes, No or NA | Description of Procedure or Explain Not Applicable (NA)<br>If you answer "Yes" or "NA" you must describe your process or why you feel the question is not applicable |
|----------|--|--------------------------|--|
| <b>1</b> | <b>Security Management System</b>  |                          |  |
| 1.1      | Is there a manager or supervisor responsible for implementing security within the company? <b>Please provide the security manager's name and contact information.</b>  |                          |  |
| 1.2      | Is there a designated security representative at each company location to supervise security practices and to review the introduction and removal of cargo in the receiving and shipping process?  |                          |  |
| 1.3      | Are there <u>written</u> security policies and procedures that include physical security, access controls, personnel security, education and awareness, container security, manifest and conveyance security, the handling of incoming and outgoing goods to identify overages and shortages or the introduction of unmanifested or illegal goods? |                          |  |
| 1.4      | Is there a <u>documented</u> process for reporting and investigating security related incidents and to report them on a timely basis to Customs or law enforcement officials?  |                          |  |
| 1.5      | Are close working relationships maintained with local law enforcement authorities?   |                          |  |
| 1.6      | Are there effective internal and external communication protocols in place to notify security personnel and law enforcement in the event of an incident?   |                          |  |
| 1.7      | Are emergency contact numbers of law enforcement, company management, customers, and contractors maintained for notification in the event of an incident?  |                          |  |
| 1.8      | Are internal reviews conducted of all security operations at least annually including unannounced assessments of shipping receiving, manufacturing and cargo storage?  |                          |  |
| 1.9      | Is there a documented security improvement plan? (If yes attach to assessment report.)   |                          |  |
| 1.10     | Do all your contracts with transportation suppliers and other service providers involved in shipping, handling or storing of exports to the US include minimum security requirements that include all the current C-TPAT requirements?   |                          |  |
| 1.11     | Do you participate in any other Customs Authority supply chain security programs sponsored by non-U.S. customs agencies?   |                          |  |
| 1.12     | Is the identity of vendors delivering packages and mail verified to a photo ID and are arriving packages and mail periodically screened prior to delivery.   |                          |  |
| 1.13     | Do you conduct C-TPAT compliance assessments of all your suppliers that are involved in the handling, transporting or storing cargo destined to the US?  |                          |  |
| <b>2</b> | <b>Physical Security and Access Controls</b>   |                          |  |
| 2.1      | Does the facility have <u>written</u> physical security procedures?  |                          |  |

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| 2.2  | Are all cargo handling and storage areas adequately protected from unauthorized access by perimeter fencing or natural barriers?  |  |  |
| 2.3  | Is an adequate clear zone maintained on both sides of the fence or barrier to ensure a clear view of the perimeter and prevent individuals from hiding themselves or scaling the fence (e.g. no brush, trees or other vegetation or material)?            |  |  |
| 2.4  | Are the fence/barrier and the clear zone periodically inspected to ensure their integrity?  |  |  |
| 2.5  | Are there controls in place to prevent unauthorized vehicles from entering the premises or, at a minimum, the truck pad, container storage, and dock areas? (For example, is there a manned gatehouse and do the guards have <u>written</u> post orders). |  |  |
| 2.6  | Are controls in place to positively identify drivers with a government-issued photo ID?   |  |  |
| 2.7  | Are controls in place to prevent unauthorized individuals from entering the facility; shipping and receiving docks; trailers, trucks, and containers? (e.g., are entrances manned or covered by electronic access control with CCTV)                      |  |  |
| 2.8  | Are personnel entrances to the facility limited to the smallest number? Are personnel entrances manned or monitored electronically to prevent unauthorized access?  |  |  |
| 2.9  | Do employees wear identification badges and are those without badges challenged?  |  |  |
| 2.10 | Do identification badges include photographs?   |  |  |
| 2.11 | Are all visitors/contractors: Authorized by management; Positively identified with government-issued photo ID; Recorded in a visitor log; and Provided identification badges?   |  |  |
| 2.12 | Are visitors required to be escorted?   |  |  |
| 2.13 | Is there a policy that prohibits personal belongings or packages from being brought into the facility or, if allowed, are they inspected upon entrance and egress to prevent the introduction of unauthorized material or the removal of company assets?  |  |  |
| 2.14 | Are random trash inspections conducted, removal procedures evident, and trash bin locations monitored or controlled?  |  |  |
| 2.15 | Is the lighting of the facility interior adequate - including entrance lobbies, dock loading areas and emergency exits?   |  |  |
| 2.16 | Is the exterior lighting adequate - including personnel doors, emergency exits, dock doors, container storage areas and truck pads? Is the lighting sufficient for high quality CCTV recording?   |  |  |
| 2.17 | Is the building constructed of materials that resist unlawful entry and are periodically inspected?   |  |  |

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| 2.18     | Are all doors/windows/openings adequately locked and secured to prevent unauthorized access to the facility <u>and</u> monitored by an intrusion or motion detection/burglar alarm system monitored 24/7 by police or a central control station that is secure from attack or compromise? |  |  |
| 2.19     | Is there a working CCTV system that covers the exterior of the buildings including the personnel entrances, the interior and exterior of the docks, and yards where trailers and containers are loaded/unloaded and stored? Is the CCTV system monitored and recorded?                    |  |  |
| 2.20     | Are video recordings kept a minimum of 30 days?   |  |  |
| 2.21     | Are adequate controls in place to ensure the quality of video recordings (e.g., tapes replaced every 3-6 months and periodically reviewed for quality)?   |  |  |
| 2.22     | Is an alarm system utilized in to prevent/deter unauthorized, after-hours access to cargo handling and storage areas?   |  |  |
| 2.23     | Is access to the alarm and video recording equipment control center restricted to need?   |  |  |
| 2.24     | Do you utilize security guards on site? If yes, are the post procedures documented, comprehensive and current?  |  |  |
| 2.25     | Are international, domestic, high-value, and dangerous goods properly segregated by fence, safe or cage, with access restricted to need and properly marked?  |  |  |
| 2.26     | Are controls in place to prevent unauthorized access to computer systems? (e.g., user passwords required, system firewalls and virus protection, secured servers)   |  |  |
| 2.27     | Are lock and key controls, practices and procedures adequate?   |  |  |
| <b>3</b> | <b>Human Resources: (Personnel Security &amp; Education and Awareness)</b>  |  |  |
| 3.1      | Are pre-employment background checks conducted that include criminal checks and application verification to the fullest extent allowed by law?  |  |  |
| 3.2      | Are periodic checks and reinvestigations performed based on cause and/or the sensitivity of the employees position?   |  |  |
| 3.3      | Are the same background checks required for temporary employees and contract personnel?   |  |  |
| 3.4      | Are employees (temporary and permanent) and contractors subject to drug testing   |  |  |
| 3.5      | Are employment applications verified prior to hiring? Are all references, prior employment, citizenship, checked?)  |  |  |
| 3.6      | Do all employees receive security training during new employee orientation <u>and</u> on an ongoing basis? Does security training cover unauthorized access, the threat of terrorism, maintaining cargo integrity, and the recognition of internal conspiracies?                          |  |  |
| 3.7      | Does the company have a <u>written</u> Code of Conduct?   |  |  |

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| 3.8      | Are employees trained or recognize suspicious or illegal activity and how to report it? Is there an employee hotline or other process to enable/encourage employees to report wrongdoing anonymously?  |  |  |
| 3.9      | Are employees encouraged and rewarded to report anomalies and wrongdoings?   |  |  |
| 3.10     | Do key personnel receive training in document fraud and computer security?   |  |  |
| <b>4</b> | <b>Container Security</b>  |  |  |
| 4.1      | Are their <u>written</u> procedures in place to verify the physical integrity of the container before stuffing?  |  |  |
| 4.2      | Do the procedures include a 7-point process (front, left side, right side, floor, ceiling/roof, inside/outside doors, outside undercarriage)?  |  |  |
| 4.3      | Is the individual who inspects the container required to sign-off on an inspection checklist?  |  |  |
| 4.4      | Is the container/trailer sealed with a high-security bolt seal that meets or exceeds PAS ISO 17712 for high-security bolt seals?   |  |  |
| 4.5      | Is there a written procedure that stipulates how seals are to be controlled and utilized?  |  |  |
| 4.6      | Does this include the recognition of compromised seals and reporting to Customs and local law enforcement?   |  |  |
| 4.7      | Are seal numbers recorded on the shipping instructions?  |  |  |
| 4.8      | Are seals kept in a secure place under lock and key with access to only those employees that are authorized to distribute seals?   |  |  |
| 4.9      | Are all trailers/containers, etc. of solid-walled construction and in good condition?  |  |  |
| <b>5</b> | <b>Procedural, Documentation Processing, Manifest and Information Security</b>   |  |  |
| 5.1      | Are security measures in place to ensure the integrity and security of processes relevant to the transportation, handling and storage of cargo in the supply chain?  |  |  |
| 5.2      | Are procedures in place to ensure that all information used in the clearing of merchandise/cargo is legible; complete and accurate; protected against the exchange, loss or introduction of erroneous information; and reported to Customs in a timely manner? |  |  |
| 5.3      | Are procedures in place to ensure that information received from business partners is reported accurately and timely?  |  |  |
| 5.4      | Do automated systems have individually assigned accounts that require periodic password change?  |  |  |
| 5.5      | Is access to the information or input/change transactions limited to need?   |  |  |
| 5.6      | Are there documented IT security policies, procedures and standards?   |  |  |
| 5.7      | Are employees trained in the proper IT security practices?   |  |  |

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|------------|--|--|--|
| 5.8        | Is there a system in place to identify abuse of IT systems, including unauthorized access, tampering or altering of business data.   |  |  |
| 5.9        | Are violators subject to appropriate disciplinary actions?   |  |  |
| <b>6.0</b> | <b>Shipping and Receiving</b>  |  |  |
| 6.1        | Are there <u>written</u> security procedures covering receiving and shipping operations to prevent the introduction of unauthorized or unmanifested material?                      |  |  |
| 6.2        | Are the shipping and receiving areas separate, with access limited to those positively identified employees who work in the area?  |  |  |
| 6.3        | Are procedures in place to ensure that unauthorized and unidentified persons are challenged and prevented access to the yard, and shipping and receiving areas?                    |  |  |
| 6.4        | Are cars and other personal vehicles prevented from parking on the truck pad (shipping/receiving and cargo storage area)?  |  |  |
| 6.5        | Do you reconcile receipt of goods to the shipping manifest and packing list and report overages, shortages, damages and other anomalies to management?                             |  |  |
| 6.6        | Is there a designated security representative or supervisor present during the loading or unloading of cargo?  |  |  |
| 6.7        | Does the supervisor sign the paperwork indicating approval of the shipment/receipt of goods or noting discrepancies?   |  |  |
| 6.7        | Are incoming/outgoing vehicles, drivers, and trailers verified and logged?   |  |  |
| 6.8        | Are drivers' identities validated to their driver license photos and are the driver license numbers recorded on the log along with the vehicle license plate, and trailer numbers? |  |  |
| 6.9        | Is there a system to monitor and track the timely movement of all cargo conveyances incoming and outgoing?   |  |  |
| 6.10       | Are the shipping and receiving docks and trailer/container storage yards monitored by CCTV? Is the CCTV coverage recorded?   |  |  |
| 6.11       | Is there a procedure for detecting and reporting incorrect or missing seals, shortages and overages, damages and other anomalies?  |  |  |
| 6.12       | Are there procedures for reporting cases in which unauthorized personnel, unmanifested materials or signs of tampering are discovered?   |  |  |
| 6.13       | Are finished products properly marked, counted, weighed (if necessary), documented, and reported on the manifest and bills of lading?  |  |  |
| 6.14       | Are empty and full containers stored securely to prevent the introduction of unmanifested and unauthorized material or theft of goods?   |  |  |