

ATC LOGISTICS, INC.

C-TPAT Security Questionnaire

Company:	Contact Party:
Address:	Phone:
City, St. Zip	Email:

Purpose: ATC has committed to participation in the Customs Trade Partnership Against Terrorism (CTPAT) Program administered by Customs. CTPAT is a supply chain security program designed to strengthen the U.S. borders and supply chain. The information you provide will only be used in validating the adequacy of our supply chain security of our business partners.

Instructions: Please complete the form and return it to ATC in the same format it was provided. Emailed responses with the data included in an Excel attachment are preferred. This questionnaire is being used to determine what processes are in place and there is no impact of not answering all the questions "yes." If a process does not apply to your operations, please enter "N/A". While it is not necessary to have a written procedure for every question, it is important that the company can substantiate all questions answered "Yes" if CBP requests verification at a later date.

Sections/Questions	YES	NO	Comments	Compliance Level						
Industry Security Programs				1	2	3	4	5	PASS	FAIL
1 Is your company a member of C-TPAT? If yes, please submit copy of certification letter and SVI.										
2 Does your company participate in any other supply chain security programs? Please list. (AEO or another WCO accredited security										

IF YOU ANSWERED YES TO THE ABOVE QUESTION, THERE IS NO NEED TO CONTINUE. PLEASE PROVIDE US WITH A COPY OF YOUR PROOF OF CERTIFICATION, AND RETURN IT WITH THIS PAGE OF THE QUESTIONNAIRE.

Company/Facility Overview

3	What type of activities are performed at this facility?									
4	What are the hours of operation for the facility?									
5	Does the facility have a security policy/statement?									
6	Provide a brief description of each facility including: property, buildings, fencing, other barriers, location of security office, etc. Attach as separate document.									

Business Partners

7	Does your company have written and verifiable processes for the selection of business partners, including customers, contractors, carriers, and vendors?									
8	Are the contract companies who provide transportation and cargo handling services members of C-TPAT, or have they committed in writing to following the C-TPAT Security Guidelines?									
9	Does your company have documented service provider screening and selection procedures to screen the contracted service provider for financial soundness, ability to meet contractual security require									

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Sections/Questions	YES	NO	Comments	Compliance Level									
10	Does your company have documented procedures to screen prospective customers for financial soundness, the ability of meeting contractual security requirements, and the ability to identify and correct security deficiencies as needed?												
11	Does your organization make educational opportunities available for clients through seminars, consultation, dissemination of related materials and/or other methods?												
Physical Access Controls - Employees													
12	Does your company employ more than 50 employees at any one location?												
13	Does the company issue badges to employees?												
14	Are the badges color coded to designate access privileges, etc?												
15	Are employees required to show an identification badge when entering the premises?												
16	Does the company have procedures for issuance, removal, and changing of employee access devices?												
Physical Access Controls - Visitors													
17	What type of identification are visitors required to present? Are they required to present some form of photo identification?												
18	Are visitors issued special badges that identify them as visitors?												
19	Are visitors identified and controlled through a tracking system such as a paper or electronic visitors log? If yes, please explain method of identification and control.												
20	Are visitors escorted while on the premises?												
Physical Access Controls - Deliveries													
21	What type of identification are delivery drivers required to present? Are they required to present some form of photo identification?												
22	Are vehicles subject to inspection upon entering and/or exiting the premises?												
23	If facility contains a loading dock, is access to loading/unloading area controlled? (Please explain method of control in outline. Method documented?)												
24	Are incoming or outgoing mail and express courier packages periodically screened before dissemination?												

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Sections/Questions	YES	NO	Comments	Compliance Level					
Physical Access Controls - Challenging/Removing Unauthorized Persons									
25	Are procedures in place to identify, challenge, and address unauthorized/unidentified persons?								
Physical Access Controls - Personnel Security - Pre-employment Verification									
26	Are pre-employment screening and background reviews conducted? •Application - References - Verification of past employment •Criminal History •Credit								
27	Are prospective employees subject to drug and/or alcohol testing?								
28	Does the company verify citizenship on new employees?								
29	Does the company hire temporary or contract labor? What policies are applied to contract laborers?								
30	Does the company have a policy for searching employees, vehicles, and personal effects?								
Physical Access Controls - Personnel Security - Periodic Checks									
31	Are current employees subject to drug and/or alcohol testing?								
32	Are periodic background checks done on employees in sensitive positions or for cause?								
Physical Access Controls - Personnel Security - Termination Procedures									
33	Does the company have procedures in place to remove identification, facility, and system access for terminated employees?								
Procedural Security									
34	Does your company maintain written procedures to ensure the integrity of data and documents relevant to security of processes, transportation, handling and storage of cargo in the supply chain?								
Documentation Processing - General									
35	Are procedures in place to ensure all information required in clearing of cargo is legible, complete, accurate and reported in a timely								
36	Are procedures in place to ensure the consistency and accuracy of information transmitted to CBP through the entry summary process?								
37	Are procedures in place for the review of documentation for completeness and contacting the business partner when necessary to obtain corrected information?								

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Sections/Questions	YES	NO	Comments	Compliance Level									
38	Are procedures in place for the broker to notify the importer of its obligation to notify CBP of any overages or shortages of merchandise that create a security risk?												
Documentation Processing - Advanced Submission of Data													
39	Are entries filed at least 24 hours prior to the arrival of ocean cargo?												
Documentation Processing - Cargo Discrepancies													
40	Are procedures in place for the broker to inform the importer that shortages, overages, and other significant discrepancies or anomalies are resolved and/or investigated appropriately and reported to CBP?												
41	Are procedures in place to notify CBP and/or other appropriate law enforcement agencies if illegal or suspicious activities are detected?												
42	Does the broker assist the importer in making appropriate modifications in the transmission of entry data when required?												
Documentation Processing - Shipping & Receiving													
43	Are procedures in place to track the timely movement of incoming merchandise?												
44	Is arriving cargo reconciled against information on the cargo manifest?												
45	Is arriving cargo verified against purchase or delivery orders?												
Education and Training - General Security Issues													
46	Do employees receive training on general security awareness? Describe.												
47	How are employees educated on C-TPAT policies and procedures?												
48	Does the broker provide educational opportunities on C-TPAT policy such as security procedures, best practices, access controls, documentation fraud, information security internal conspiracies and other relevant security issues?												
Physical Security - Fencing													
49	Are cargo handling and storage areas protected by fencing and inspected regularly?												
50	Is fencing used to segregate domestic, international and hazardous cargo?												
Physical Security - Gates													
51	Are security gates used for entrance and exit areas?												

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Sections/Questions	YES	NO	Comments	Compliance Level					
Physical Security - Parking									
52	Are passenger vehicles prohibited from parking adjacent to cargo receiving, shipping, storage and handling areas?								
Physical Security - Building Structures									
53	Are buildings constructed of materials that resist unlawful entry?								
54	When and how are buildings inspected for integrity and damage?								
55	Are restricted areas clearly marked?								
Physical Security - Locking Devices									
56	Do adequate locking devices protect external and internal doors, windows, gates and fences? What types of devices are used?								
57	Are procedures in place to control issuance of locks and keys?								
Physical Security - Lighting									
58	Is adequate lighting provided for the Entrances and Exits, Cargo handling and Storage areas, Fence lines and Parking Areas								
59	Is there an emergency lighting system/generator?								
Physical Security - Alarms/Cameras									
60	Does the facility have an alarm system?								
61	Does an outside company monitor the alarms, or are they monitored by internal security personnel?								
62	What type of mechanism is used to alert a breach? Audible? Visual? Pager? Other?								
63	Whom does the alarm notify? Security? Law Enforcement? Other?								
64	Does the facility use CCTV cameras								
65	If CCTV cameras are used, are they continuously monitored?								
66	Are CCTV's recorded? If so, how long are tapes maintained?								
Information Technology									
67	Does the company use individualized access accounts?								
68	Are passwords used and required to be changed periodically?								
69	Is there a system in place to identify improper access, tampering or altering of business data?								
70	Are systems protected from power interruptions by a generator?								