CTPAT Business Partner
Supply Chain Security Questionnaire

I. Business Partner Data

Company Name:	
Address:	
Name of Contact:	
Title of Contact:	
Email:	
Phone:	
Date:	

Type of Business:

Foreign Manufacture ☐   Highway Carrier ☐   US Importer / Exporter ☐   Us Broker ☐   Other

CTPAT Member ☐ YES   ☐ NO

Status Account:

Your company has another security program as: BASC ☐   FAST ☐   OEA ☐   OTRO

II. Security Policies, Procedures and practices

Our company adheres to the guidelines of the "Custom Trade Partnership Against Terrorism" (CTPAT) program, this program was established by the United States government and its main objective is to maintain a secure supply chain involving all business partners. Our company has a great commitment to meeting each of the criteria established by the CTPAT program. This commitment, among other things, requires that our business partners answer this questionnaire to be aware of the security levels they have, as is the loading process, types of inspections, storage, security seals, information systems, access controls, among others. As our customers are an important and critical part of our operation, the main purpose of the program is to completely bridge the logistics process and ensure that the merchandise reaches its final destination safely. We are pleased to be part of your business and are looking to work under a safe environment within the supply chain. Do not hesitate to contact us if you have any questions about the security program.

Likewise, an attached document will be sent with the minimum-security criteria of the CTPAT program. Or you can consult it on the following website: https://www.cbp.gov/border-security/ports-entry/cargo-security/ctpat-customs-trade-partnership-against-terrorism/apply/security-criteria

III. Questionnaire.

Please select the option Yes or No depending on the fulfillment of each of the questions. If not applicable, please mention it in the comments, so no question is left unanswered. If you require adding any type of additional note, please do so. can be asked below each question, the attached questionnaire must be signed on the last page acknowledging the veracity of each of the answers presented in the questionnaire.

1.Corporative Security

Vision of Safety and Responsibility

1. Management performs audits of internal CTPAT procedures? YES ☐   NO ☐

Comments: _____

2. Does the company have a list of sensitive personnel? YES ☐   NO ☐

Comments: _____

3. The personnel involved are aware of their functions, activities and responsibilities regarding the CTPAT program?

YES ☐ NO ☐ Comments: _____

4. Does the person in charge of the CTPAT program (POC) enter the portal periodically? YES ☐ NO ☐

Comments: _____

Risk Assessment

5. Do you perform supply chain Risk Analysis? YES ☐ NO ☐

Comments: _____

6. Risk Analysis is carried out at least once a year? YES ☐ NO ☐

Comments: _____

7. What is the date of the last Risk Analysis?

Comments: _____

Business Partner

8. Are safety questionnaires sent to your business partners on an annual basis? YES ☐ NO ☐

Comments: _____

9. Do you request a security agreement signed by your business partner, so that both parties agree to collaborate under the

criteria of the CTPAT program? YES ☐ NO ☐

Comments: _____

10. Are on-site visits made to business partners? YES ☐ NO ☐

Comments: _____

11. Opportunity areas detected during the visit to your business partner are followed up? YES ☐ NO ☐

Comments: _____

Cybersecurity

12. Does your company have a policy to assign password to users? YES ☐ NO ☐

Comments: _____

13. Is the access to the computer equipment and the network eliminated after the dismissal and separation of employees?

YES ☐ NO ☐ Comments: _____

14. Are there policies and procedures regarding information technology security and are they communicated to employees?

YES ☐ NO ☐ Comments: _____

15. Is anti-virus software installed in your systems? YES ☐ NO ☐

Comments: _____

16. Is there a policy for backing up information from your computer equipment periodically? YES ☐ NO ☐

Comments: _____

17. The area where the servers are located is restricted? YES ☐ NO ☐

Comments: _____

18. Is there the use of software / hardware to protect information technology systems? YES ___ NO ___

Comments: _____

19. Do you have systems to protect computer equipment from cyber-attack? YES ___ NO ___

Comments: _____

2. Conveyance & IIT

Conveyance Security (IIT)

20. Does the company have a written procedure to check the integrity of cargo vehicles both inside and outside?

YES ___ NO ___ Comments: _____

21. The inspection of cargo vehicles is carried out through a checklist? YES ___ NO ___

Comments: _____

22. Are inspections carried out on cargo vehicles both at entrances and exits of the facility? YES ___ NO ___

Comments: _____

23. Do you have the tools (laser distance meter, mallet and mirror) for the correct inspection of units? YES ___ NO ___

Comments: _____

24. Are inspections carried out in the cabinet of the units? YES ___ NO ___

Comments: _____

25. Are the inspections verified and / or supervised? YES ___ NO ___

Comments: _____

Safe Storage

26. Cargo vehicles are stored in a secure area to prevent unauthorized access? YES ___ NO ___

Comments: _____

Seal Security

27. Have a written procedure for the control and application of security seals? YES ___ NO ___

Comments: _____

28. Do the security seals used comply with ISO 17712? YES ___ NO ___

Seal Certificate date: _____
Comments: _____

29. Do you manage control and seal inventory? YES ___ NO ___

Comments: _____

30. If applicable, they inspect the seals using the VVTT method? YES ___ NO ___

Comments: _____

Follow up and monitoring

31. Is a tracking and monitoring activity log kept to track cargo vehicles or GPS equivalent technology? YES [ ] NO [ ]

Comments: _____

32. Does the GPS system have geo fences established? YES [ ] NO [ ]

Comments: _____

33. Random inspections of on route units are performed within the GPS system? YES [ ] NO [ ]

Comments: _____

34. Does the company have predetermined routes for export shipments? YES [ ] NO [ ]

Comments: _____

35. Is live monitoring performed for each export shipment? YES [ ] NO [ ]

Comments: _____

Procedural Security

36. Are the procedures / policies of the CTPAT program received periodically? YES [ ] NO [ ]

Comments: _____

37. Are there procedures to ensure that the export documentations are legible, accurate and complete prior to shipment?

YES [ ] NO [ ] Comments: _____

38. Are processes in place to ensure that the export documentation is not used by unauthorized personnel? YES [ ] NO [ ]

Comments: _____

39. Does the company have written policies / procedures to detect unauthorized personnel? YES [ ] NO [ ]

Comments: _____

40. Is there a procedure for escalation of information in case of detecting an incident? YES [ ] NO [ ]

Comments: _____

41. Are supply chain security incidents reported to CBP? YES [ ] NO [ ]

Comments: _____

Agricultural Security

42. Does the company have written procedures to prevent pest contamination of the export product? YES [ ] NO [ ]

Comments: _____

43. The units are cleared prior to loading the export merchandise? YES [ ] NO [ ]

Comments: _____

44. Are wooden pallets used to transport goods? YES [ ] NO [ ]
Comments: _____

45. Are pallets used treated (WPM/Nom-144-SEMARNAT 2017? YES [ ] NO [ ]
Comments: _____

Physical and Personnel Security

Physical Security

46. Are there physical barriers and / or deterrents to prevent unauthorized access to your facilities? YES [ ] NO [ ]
Comments: _____

47. Do the assigned personnel carry out periodic inspections to verify the integrity of the installation? YES [ ] NO [ ]
Comments: _____

48. Does your facility have an adequate lighting system which covers sensitive areas, such as parking areas, fences, entrances, etc.?
YES [ ] NO [ ] Comments: _____

49. Is there a documented procedure on the operation of the physical security of the installations? YES [ ] NO [ ]
Comments: _____

50. Does the facility have security cameras placed in sensitive areas? YES [ ] NO [ ]
Comments: _____

51. Is the parking lot for employees and visitors separated from the loading area or storage area for products going to the United
States? YES [ ] NO [ ] Comments: _____

52. Do the facilities have an alarm system? YES [ ] NO [ ]
Comments: _____

Physical Access Controls

51. Are there written procedures that regulate access to the facilities? YES [ ] NO [ ]
Comments: _____

52. Can employees, visitors, or external personnel be identified through badges or any other device? YES [ ] NO [ ]
Comments: _____

53. Is an official identification requested from outside personnel to access he facilities? YES [ ] NO [ ]
Comments: _____

54. Is access log of employees, suppliers, visitors and contractors kept? YES [ ] NO [ ]
Comments: _____

55. Employees are familiar with procedures to prevent and detect unauthorized personnel? YES [ ] NO [ ]
Comments: _____

56. Are the accesses to your facilities controlled by security personnel? YES [ ] NO [ ]
Comments: _____

Personnel Security

57. Does your company have a code of conduct for employee? YES [ ] NO [ ]
Comments: _____

58. Are the employee's references checked before being hired? YES [ ] NO [ ]
Comments: _____

59. Do you so some kind of background check or do you ask the employee for a "No Criminal Record letter"? YES ☐ NO ☐

Comments: _____

60. Are drug tests performed on sensitive personnel? YES ☐ NO ☐

Comments: _____

61. Are the tools and / or articles delivered upon entry of each employee recorded? YES ☐ NO ☐

Comments: _____

Training in security, threats and awareness

62. Does the company provide training to its employees on security within the supply chain? YES ☐ NO ☐

Please indicate the periodicity: **_____**

Comments: _____

63. Is the training documented? YES ☐ NO ☐

Comments: _____

CTPAT & Non CTPAT
Eligible Vendors Certification

Identify that the information in this questionnaire is true and correct to the best of my knowledge. Should significant changes occur in our program, we will provide written notification to the company in writing of these changes.

Name:	
Signature:	
Title:	
Company:	
Date:	