

CORPORATE OFFICE
SYR-NY

Instructions: Please complete the following questionnaire and supplemental form and return to Mohawk Global Logistics, 1.

C-TPAT SECURITY PROFILE QUESTIONNAIRE			
Company Name(s) ¹ :		Type of Carrier ² :	
Address(es) ³ :			
Years in Business:		Customs Bonded Facilities ⁴ :	YES / NO
# of Employees:		# of Licensed Customs Brokers ⁵ :	
Contact Party:		E-mail:	
Phone:		Fax:	
Insert a "✓" in the appropriate column for each line item.			YES NO
A. FACILITY ACCESS CONTROLS			
1. Is there a visitor pass system?			
2. Are visitor records or logs kept?			
3. Are visitors subject to search upon entry or exit?			
4. Are visitors required to give photo identification?			
5. Are there procedures for challenging and removing unauthorized persons from premises?			
6. Is there a separate employee parking lot?			
7. Is arriving mail periodically screened?			
B. PHYSICAL SECURITY OF CARGO HANDLING/STORAGE AREA			

¹ Please list any/all names that your company may use.

² Required for Air, Ocean, Rail, and Motor/Truck Carriers only.

³ Required for all. Brokers/Forwarders and Warehouse Operators must also provide the addresses of other offices and/or related facilities.

⁴ Required for Warehouse Operators only.

⁵ Required for Brokers/Forwarders only.

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1. Is private vehicle parking allowed near cargo handling/storage area?		
2. Does the facility have an alarm system and surveillance equipment?		
3. Is cargo stored outside facility?		
4. If so, is there an exterior fence?		
5. Are there locking devices on all doors and windows?		
6. Are there locking devices on all gates and fences?		
7. Is the facility built of materials that resist unlawful entry?		
8. Is there adequate lighting in parking lots and near cargo handling/storage areas?		
9. Is waiting area for drivers and visitors to cargo handling/storage areas secure?		
C. IDENTIFICATION OF EMPLOYEES		
1. Is photo identification required?		
2. Are unauthorized personnel prohibited from entering restricted areas?		
3. Are shipping and receiving employees photo registered and records maintained?		
D. HIRING AND TERMINATION POLICIES		
1. Are detailed employment applications required of prospective employees?		
2. Are prospective employees interviewed?		
3. Is information from the application and interview verified?		
4. Are background checks conducted on all employees?		
5. Is there a periodic check and reinvestigation performed on employees based on cause or sensitivity of employee's position?		
6. Are there procedures to remove identification, facility, and system access for terminated employees?		
E. EMPLOYEE TRAINING		
1. Is there a security awareness program?		
2. Is the program designed to include maintenance of cargo integrity, recognition of internal conspiracies, and protecting access controls?		



3. Are there logs recording training class dates and attendance for individual employees?		
4. Are employees aware of emergency and evacuation procedures?		
5. Is there a C-TPAT Manual which includes company procedures that have been designed to strengthen supply chain security?		
6. Are there random recorded internal audits of security procedures?		
7. Are records of security breaches and corrective action maintained?		
8. Is there a periodic self-assessment of all security procedures to determine if processes need updating or improvement?		
F. INFORMATION TECHNOLOGY SECURITY		
1. Are there security policies, procedures, and standards in place?		
2. Are employees trained in these security procedures?		
3. Does the security program offer incentives for employee participation?		
4. Do automated systems require individually assigned accounts that require periodic changing of passwords?		
5. Do passwords combine letters, numbers, and symbols to defeat descrambling software?		
6. Are employees informed that company email and internal usage is not confidential?		
7. Are servers password protected?		
8. Are there secure system backups?		
9. Is current anti-virus software and firewall protection installed on all hardware?		
G. ELECTRONIC DATA INTERCHANGE		
1. Are procedures in place to ensure all information used in the clearance of cargo is complete and accurate, as well as protected from erroneous information?		
2. Are there procedures to safeguard computer access to EDI systems?		
3. Are there periodic audits of data to ensure safety of EDI systems?		
H. PROCESSES FOR SELECTION OF BUSINESS PARTNERS		
1. Are there written and verifiable processes for selection of business partners?		



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2. Are all supply chain partners, such as foreign manufacturers, freight forwarders/consolidators, steamship lines, airlines, port authorities, truck carriers, and Customs Brokers considered?		
3. Are questionnaires sent to existing and prospective business partners to determine if they are C-TPAT certified or meet C-TPAT requirements?		
4. Does the firm require a statement by a senior official of the business partner to support the above security statement?		
5. Are completed questionnaire records maintained?		
6. Are copies of C-TPAT certificates/SVI numbers of business partners maintained?		
7. Based on risk assessment, does the firm conduct site visits to verify business partner's adherence to C-TPAT guidelines?		

I. CUSTOMER SCREENING PROCEDURES

1. Are there documented procedures to screen prospective customers for validity, financial soundness, the ability to meet contractual security requirements, and the ability to identify and correct security deficiencies as needed?		
2. Is a risk based approach used in customer screening procedures?		

CERTIFICATION STATEMENT

I hereby certify that the information given by me in this questionnaire is true and correct to the best of my knowledge. Should significant changes occur in our program, we will provide Mohawk notification in writing of these changes.

Signature

Date

Title



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SUPPLEMENTAL FORM FOR SEA CARRIERS

C-TPAT Certification Status (check one):

Accepted, see attached certification
SVI # : _____

Applied, but certification not received

Application in-progress

No plans for C-TPAT

Other (please specify): _____

Insert a "✓" in the appropriate column for each line item.	YES	NO
1. Does the firm outsource various components of its supply chain?		
2. If so, does the firm work with business partners to ensure security procedures that meet C-TPAT guidelines are in place?		
3. Does the firm have conveyance security procedures, such as physical search of all accessible areas, securing all internal/external compartments and panels, and reports of unmanifested materials?		
4. For business partners not eligible for C-TPAT certification, does the firm screen for their ability to meet C-TPAT guidelines?		
5. Are there periodic reviews of procedures at point of origin to ensure that unauthorized goods are not loaded aboard a conveyance?		
6. Are procedures in place to verify physical integrity of containers, including inspection of top, bottom, inside, and outside?		
7. Do procedures ensure that all documentation (including invoices, manifests, and airbills used in transporting/clearing cargo) is complete, accurate, and protected from exchange of erroneous information?		
8. Is arriving cargo reconciled against information on the cargo manifest?		
9. Is cargo accurately described, weighed, labeled, marked, counted, and verified?		
10. Is departing cargo checked against purchase or delivery orders?		
11. Are drivers who deliver or receive cargo positively identified?		
12. Are shortages, overages, and other discrepancies investigated appropriately?		
13. Does the firm adhere to all ISPS and MTSA requirements?		
14. Do vessels and marine terminals used by the firm adhere to ISPS code requirements?		

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15. Are PAS ISO 17712 or equivalent high security seals used to protect container integrity?		
16. Does the firm have procedures to comply with seal control, verification rules, and seal anomaly reporting requirements as mandated by U.S. government?		
17. Are containers inspected prior to stuffing?		
18. Are all U.S.-bound empty containers inspected prior to shipment?		
19. Are containers stored in a secure area?		
20. Are procedures in place to report unauthorized entry into containers and storage areas?		
21. Are there processes in place to identify potential deserters or absconders?		
22. Are all deserters/absconders reported to U.S. Customs?		
23. Are there documented procedures to perform security sweeps for potential stowaways?		
24. Does the firm adhere to U.S. Coast Guard Notice of Arrival and Departure requirements?		
25. If requested, can the firm provide BAPLIE or stowage plan to U.S. Customs?		