



**CTPAT Business Partner Survey**

Many business partners may already have extensive security measures in place that meet the security requirements from US Customs and Border Protection (CBP) and the Canada Border Services Agency (CBSA). You may assess your supply chain security using the US Customs' C-TPAT minimum requirements posted on their website at: <http://www.cbp.gov>.

**Instructions to Complete the Questionnaire:**

This questionnaire is to be completed by an AUTHORIZED employee of your company.



If you are currently registered to C-TPAT or PIP, please complete section I only.

If you are NOT currently a registered C-TPAT member, the YNA C-TPAT/PIP Security Questionnaire **must be** completed.

If you are currently registered under another C-TPAT mutually recognized program, please specify:

Please return the completed Survey to [CTPAT@heizwerthy.com](mailto:CTPAT@heizwerthy.com)

**Section I**

Name of Company  Date

Address

Telephone + (ext)   
 Fax   
 Email address

Authorized Contact  Title / Designation

Do you import material  YES  NO

C-TPAT/PIP Certified  YES  NO

Your Legal Name as it appears on CBP Portal:   
 SVI Number:

Heizwerthy will use your legal name to send a request through the portal in order for your company to monitor our status.

*Please allow us to Monitor your status by sending a monitor request to Heizwerthy through your C-TPAT portal.*

**Section II**

1. Business Partners:	
1.1	Does your company have written and verifiable processes for the selection of business partners, including carriers, agents, customers, suppliers, and vendors?
1.2	Does your company have written verification that business partners are C-TPAT certified, or if not eligible, that they comply with C-TPAT criteria?
1.3	Does your company have screening procedures for new customers, beyond financial soundness issues, to include indicators of whether the customer appears to be a legitimate business and/or poses a security risk?
1.4	Does your company verify that your business partners develop security processes and procedures consistent with the C-TPAT security guidelines, to enhance the integrity of the shipment at point of origin?

Yes	No	NA

2. Container / Trailer Security:	
2.1	Are empty containers / trailers secured, using seals or similar locking devices when stored at your facility?
2.2	Are empty containers / trailers under surveillance by guards, surveillance cameras, or similar measures?
2.3	Are empty or full containers / trailers kept under a proper storage area that prevents unauthorized access?
2.4	Are containers / trailers inspected prior to loading product (i.e. documented external and internal inspection following C-TPAT guidelines)
2.5	Are there procedures for reporting cases in which unauthorized personnel, unmanifested materials, or signs of tampering of the conveyance are discovered?
2.6	Does your staff attach seals on the containers / trailers that carry your product to your customers?

Yes	No	NA

3. Personnel Security:	
3.1	Do you verify past employment history of your prospective employees?
3.2	Do you conduct a police verification / background check before you provide a job offer?
3.3	Do prospective employees take a drug test?
3.4	Does your interview process comprise of more than one decision maker?
3.5	Do you maintain current personnel files on employees?
3.6	Do you maintain a current permanent employee list (foreign and domestic), which includes the name, date of birth, national identification number or social security number, and contact details?
3.7	Do you have a written code of conduct or policy that addresses security violations?
3.8	Are personnel security policies and procedures documented, controlled, communicated to applicable employees and periodically reviewed and updated by company management?
3.9	Do you conduct periodic reviews of current employees work performance and other related issues?
3.10	Do you have management responsible for the HR/ personnel function?
3.11	Do you have an employee termination procedure that includes recovering keys, identification badges, and other access devices?

Yes	No	NA

4. Physical Security:	
4.1	Are all of your buildings, yards, warehouses, on & off ramp facilities constructed of materials, which resist unlawful entry and protect against outside intrusion?

Yes	No	NA

4.2	Are gates manned and/or monitored, and are they locked during non-working hours?
4.3	Do you have locking devices on all external and internal doors, windows, gates and fences?
4.4	Are all areas inside and outside your facility, including parking areas adequately lighted?
4.5	Is your facility equipped with camera / CCTV surveillance?
4.6	Is your facility equipped with glass break and motion sensors?
4.7	Are physical security policies and procedures documented, controlled, communicated to applicable employees and periodically reviewed and updated by company management?
4.8	Do you utilize the services of an outside security company?
4.9	Do you have procedures for detecting, recording, reporting and investigating shortages / overages?
4.10	Are there internal and external communications systems in place to contact security personnel or local police?
4.11	Are international, domestic, high-value, and dangerous goods segregated and marked within the warehouse by a safe area that is caged or fenced-in?
4.12	Is the facility in a Free Trade Zone, Industrial Park, or other compound that provides additional security features?


<b>5. Physical Access Controls:</b>	
5.1	Do you have a system to positively identify all employees, visitors, and vendors attempting to gain access to your facilities, including shipping, loading and cargo areas? For instance you may have separate staff and visitor badges, uniforms, lab coats.
5.2	Do you utilize a photo identification system for employees?
5.3	Do employees gain entrance to the facility through a secure point of entry using electronic card keys, buzzer/release doors, security guard checkpoints or similar methods?
5.4	Are access security policies and procedures documented, controlled, communicated to applicable employees and periodically reviewed and updated by company management?
5.5	Are records or a logbook kept of visitor's names, company they are representing, purpose of visit, and entrance/exit times maintained?
5.6	Are visitors escorted by security personnel or other employees while visiting your facility?

<b>Yes</b>	<b>No</b>	<b>NA</b>

<b>6. Procedural Security:</b>	
6.1	Do you maintain a list of emergency contact numbers for both external agencies like law enforcement, Fire, Medical Aid, and key staff/management?
6.2	Are procedures in place to protect against unmanifested or illegal material being introduced into the supply chain?
6.3	Are empty cargo containers inspected on arrival?
6.4	Are empty and full containers properly stored to prevent unauthorized access?
6.5	Do you have documented procedures for affixing, replacing, recording, tracking and verifying seals on containers or trailers?
6.6	Are storage areas secured and inspected?
6.7	Do controls include the proper marking, weighing, counting, and documenting of outgoing cargo and cargo equipment?
6.8	Are there procedures for detecting and reporting cargo shortages or overages?
6.9	Are random, unannounced security assessments conducted on areas in the supply chain within your company's control?
6.10	Are there procedures for reporting any abnormalities in the movement of cargo?
6.11	Are there procedures for notifying Customs and/or other law enforcement agencies in cases where you have detected or suspected unusual or illegal activities?
6.12	Is access to data and records controlled?

<b>Yes</b>	<b>No</b>	<b>NA</b>

<b>7. Education, Training &amp; Awareness:</b>	
7.1	Does your company provide a security training program to employees? If "no", will the company be implementing any form of security training in the near future?
7.2	Does the security awareness program include how to recognize internal conspiracies, how to maintain cargo integrity, and how to determine and address unauthorized access?
7.3	Does the company conduct random security tests and/or a yearly security audit?

<b>Yes</b>	<b>No</b>	<b>NA</b>

<b>8. Information Technology Security:</b>	
8.1	Do you monitor access to your computer systems?
8.2	Does your computer system have firewalls?
8.3	Do you assign passwords to your computer users?
8.4	Do you have anti-virus programs on your computers?

<b>Yes</b>	<b>No</b>	<b>NA</b>

<b>9. This section is for Carriers Only:</b>	
9.1	Is your fleet equipped with a tracking system that allows the driver to communicate with home base or control center?
9.2	What technology is in use? Check the relevant one/s
	<input type="checkbox"/> GPS <input type="checkbox"/> Walkie Talkie <input type="checkbox"/> Mobile phone <input type="checkbox"/> Other
9.3	Will you be able to provide us on a regular basis a list of your drivers who move our product?
9.4	Do you provide Milestone reports if requested (i.e. loaded, at border, Cleared Customs, sent for exam, delivered to customer)

<b>Yes</b>	<b>No</b>	<b>NA</b>

Thank you for your co-operation in this important matter, we look forward to a continuing relationship with your company!