



C-TPAT Security Self-Assessment for Agents of Imperial Freight Brokers, Inc.

Security Self-Assessment Date _____

Business Partner Name _____

Business Partner Address _____

Respondent Name _____

Respondent Title _____

Respondent Email _____

Respondent Telephone Number _____

1. Years in Business _____

2. Years doing business with IFB _____

3. Number of employees _____

4. Relationship to IFB / Type of business performed _____

5. Does your organization have written security procedures at non-US facilities? If so, does it conduct periodic reviews of internal controls to ensure security compliance?

6. In providing services to IFB, are any of those services subcontracted to third parties? If yes, describe the subcontracted functions and list the companies that handle these functions as well as the functions they handle. Also state whether your organization has documented safety procedures to be used by each of these subcontractors.



7. Is your organization a member of any of the following CBP Industry Partnership Programs: C-TPAT, CIP, SCIP and/or BASC, or any other internationally-recognized security initiatives? If you are part of C-TPAT, please provide your SVI number and attach Certificate. Also indicate whether your organization has been validated and the last date of validation as well as your Tier. For any other programs, please attach any certificates or proof of participation.

8. For shipments to the US, does your organization affix seals to loaded containers? If so, please specify the type of seal utilized.

NOTE: All seals must meet or exceed the current PAS ISO 17712 standard for high security seals.

9. Does your organization store containers at your facilities? If so, are containers stored in a secure area to prevent unauthorized access or manipulation?

10. Does your organization make full container load (FCL) or mostly less than container load (LCL) shipments to the US? If so, please do your best to indicate the volume percentage of such cargo.

11. Does your organization have procedures in place to identify the physical integrity of the container prior to stuffing? Do those procedures address the reliability of the locking mechanisms of the doors? *See the following links for important container safety information:

<https://www.cbp.gov/border-security/ports-entry/cargo-security/csi/csi-brief> ;
https://www.cbp.gov/sites/default/files/documents/container_inspection_3.pdf

12. Does your organization conduct 7 point inspections on all import containers headed to the US (loaded and empty)?

13. Does your organization have physical access controls to prevent unauthorized entry to your facility, maintain control of company employees and visitors and protect company assets? *Please see and complete sections I, II, III, VII, & VIII.



14. Has your organization developed and communicated a process to report overages/shortages, losses or abnormalities; whether suspected or confirmed? *Please see and complete section IV.

15. Does your organization have a security and threat awareness training program for employees? If yes, how often is training provided? *Please see and complete sections V, VI, IX & X.





Facility Security/Theft Protection

For each space provided, indicate YES or NO

I. Perimeter Fencing

- _____ Barbed Wire
- _____ Locking Gates
- _____ Other

II. Access Controls

- _____ Gated
- _____ Locking Devices
- _____ Key Control Systems
- _____ Alarms

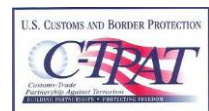
III. Structure

- _____ Made of Resistant Material
- _____ Lighting
- _____ Other
- _____ CCTV (cameras)
- _____ Monitored by Security Personnel
- _____ Recorded and Stored
- _____ Other

IV. Cargo Verifications

a. Manifest & Document Processing

- _____ Paper and/or electronic documentation is used for verification of cargo shipments
- _____ Procedures for ensuring that information provided by importer/exporter and/or forwarder is protected from loss or introduction of erroneous information on documentation





- _____ Procedures for controlling and processing documentation and ensuring accuracy
- _____ Procedures for determining inaccurate documentation or discrepancies
- _____ Procedures for investigating and recording shortages and overages
- _____ Procedures for documentation storage _____ years

V. Information Security Controls – Integrity of Automated Systems

- _____ Automation Security Officer assigned
- _____ Security policies, procedures and standards exist (including all information transmitted for remote filing locations)
- _____ Valid User IDs and passwords are assigned for system access
- _____ System security training is provided to personnel
- _____ Use of firewalls, encryption software and anti-virus protection to guard from outside intrusion
- _____ Data back-up plan
- _____ Procedures are in place to identify system abuse including improper access, tampering or altering business data
- _____ System violators are subject to appropriate disciplinary action

VI. Internal Controls – Process for reporting/correcting problems

VII. Visitor Access Controls and Procedures

- _____ Log maintained
- _____ Escorted
- _____ Search of person and packages
- _____ Appointments required / Management permission required
- _____ Photo ID





- _____ Temporary ID
 - _____ Issued
 - _____ Returned upon departure
 - _____ Logged
 - _____ Other

VIII. Closed Circuit Television

- _____ Monitored by security staff
- _____ Recorded and stored

IX. Personnel Security

a. Pre-Employment Screening and Background Reviews

i. Employee Hiring Process

- _____ Background checks
- _____ Criminal checks
- _____ Credit checks
- _____ Drug Screening/Testing
- _____ Verification of employment history
- _____ Driving record (company drivers)
- _____ Other

b. Employee Training on Security Awareness and Procedures

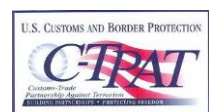
- _____ Employee security/drug awareness program
- _____ Employee incentive for reporting illegal activity

c. Employee ID System

- _____ Use of Photo IDs
- _____ Electronic Access Controls

d. Internal Codes of Conduct

- _____ Company ethical standards exist relating to supply chain Security
- _____ Employees are educated regarding those standards
- _____ System in place to periodically monitor employee conduct





e. Employee Termination Procedures

- _____ Employee ID and computer password accesses are suspended
- _____ Employee is escorted off premises
- _____ Termination records are kept. Duration: _____

X. Internal Controls-Process for reporting and managing personnel security problems

a. Security at Premises

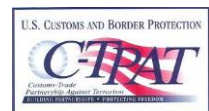
- _____ Uniformed
- _____ Armed
- _____ Security Director
- _____ Communication system for reporting security breaches
- _____ Security performance standards for personnel

**XI. Security Provider Requirements
(Logistics, Consolidators, Forwarders)**

- _____ Audits and/or background checks are performed on foreign brokers and/or freight forwarders
- _____ Applicant has informed their service provider of overall security, more specific-CBP/C-TPAT security program
- _____ Applicant uses service providers partially based on recommendations of international broker/freight forwarder trade associations/groups

What method was used by the applicant to notify the parties involved in the broker/ freight forwarder/ import process:

- _____ Written Communication
- _____ Oral Communication
- _____ If written were documents signed and dated by a company





officer

- _____ Written contract agreements that reference appropriate security measures exist between applicant and service providers
- _____ Internal controls/procedures for the selection of service providers exist

XII. Written Standards for Service Providers' Physical Plant Security

- _____ Contact list of all service providers which includes name, physical address, background, phone numbers, name of company officers and service providers
- _____ Service provider physical plant security standards exist
- _____ If not, appropriate standards have been conveyed to service provider

XIII. Quality Controls

- _____ Internal controls exist for the selection of service providers including financial assessment process to determine fiscal soundness and ability to deliver goods and services within contract perimeters
- _____ Service providers participation in CBP Industry Partnership Programs: C-TPAT, CIP, SCIP and/or BASC

Reviewer: _____

Sign and Print Name

Date Reviewed: _____

