

Revised July 2019

International Customhouse brokerage Services LTD. Business Partner Security Requirements/Questionnaire

As a C-TPAT participant, I.C.B.S., Ltd. conducts a comprehensive assessment of our international supply chain based upon C-TPAT security criteria. Where I.C.B.S., Ltd. outsources or contracts elements of their supply chain, such as a foreign facility, conveyance, domestic warehouse, or other element, I.C.B.S., Ltd. will work s with these business partners to ensure that pertinent security measures are in place and adhered to throughout the supply chain. The supply chain for C-TPAT purposes is defined from point of origin through to point of distribution, and following C-TPAT'S Five Step Risk Assessment implements each concept.

Business Partner Requirements

Will you be willing to participate as a partner by providing I.C.B.S., Ltd. with business references?

What type of business does (do) your (you) conduct?

Is your business C-TPAT certified?

How long have you been in business?

Is your business a registered Importer / Exporter?

If your Company is an Importer in the United States, does your Company have a surety Bond on file for importing?

Has your business been provided any special permits by Government Agencies?

Point of Origin

I.C.B.S., Ltd. must ensure business partners develop security processes and procedures consistent with C-TPAT security criteria to enhance the integrity of the shipment at point of origin. Periodic reviews of business partners' processes and facilities should be conducted based on risk, and should maintain the security standards required by the importer.

Participation / Certification in Foreign Customs Administrations Supply Chain Security Programs

Have you obtained certification in a supply program being administered by a foreign Customs Administration? If you have, I.C.B.S., Ltd. requests you indicate the status of your participation.

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Container Security

Container integrity must be maintained to protect against the introduction of unauthorized material and/or persons. Have you taken proper steps to properly seal and maintain the integrity

of the shipping containers? Do you affix a high security seal to all loaded containers bound for the U.S.? Do all seals meet or exceed the current PAS ISO 17712 standards for high security seals?

Container Inspection

Do you have procedures in place to verify the physical integrity of the container structure prior to stuffing, to include the reliability of the locking mechanism of the doors? I.C.B.S. Ltd. recommends a seven-point inspection process (as follows) for all containers:

- Front wall
- Left side
- Right side
- Floor
- Ceiling/Roof
- Inside/outside doors
- Outside/Undercarriage

Container Seals

Only designated employees should distribute container seals. This maintains integrity in their use. Do you have written procedures stipulating how seals are to be controlled and affixed to loaded containers-to include procedures for recognizing and reporting compromised seals and/or containers to U.S. Customs and Border Protection or the appropriate foreign authority?

Container Storage

Are containers stored in a secure area to prevent unauthorized access and/or manipulation? Do you have procedures in place for reporting and neutralizing unauthorized entry into containers or container storage areas?

Physical Access Controls

Access controls prevent unauthorized entry to facilities, maintain control of employees and visitors, and protect company assets. Access controls must include the positive identification of all employees, visitors, and vendors at all points of entry.

Employees

Do you have an employee identification system in place for positive identification and access control purposes? Are employees only given access to those secure areas needed for the performance of their duties? Do company management or security personnel adequately control the issuance and removal of employee, visitor and vendor identification badges? Are procedures for the issuance, removal and changing of access devices (e.g. keys, key cards, etc.) documented?

Visitors

Do visitors present photo identification for documentation purposes upon arrival? Are visitors escorted and do they visibly display temporary identification?

Deliveries (including mail)

Is proper vendor ID and/or photo identification presented for documentation purposes upon arrival by all vendors? Are arriving packages and mail periodically screened before being disseminated?

Challenging and Removing Unauthorized Persons

Are procedures in place to identify, challenge and address unauthorized/unidentified persons?

Personnel Security

Are processes in place to screen prospective employees and to periodically check current employees?

Pre-Employment Verification

Is application information, such as employment history and references verified prior to employment?

Background checks/investigations

Do you, consistent with foreign, federal, state, and local regulations, conduct background checks and investigations for prospective employees? Once employed, are periodic checks and reinvestigations performed based on cause, and/or the sensitivity of the employee's position?

Personnel Termination Procedures

Are procedures in place to remove identification, facility, and system access for terminated employees?

Procedural Security

Are security measures in place to ensure the integrity and security of processes relevant to the transportation, handling, and storage of cargo in the supply chain?

Documentation Processing

Are procedures in place to ensure that all information used in the clearing of merchandise/cargo, is legible, complete, accurate, and protected against the exchange, loss or introduction of erroneous information? Does documentation control include safeguarding computer access and information?

Security Training and Threat Awareness

A threat awareness program should be established and maintained by security personnel to recognize and foster awareness of the threat posed by terrorist at each point in the supply chain. Are employees made aware of the procedures the company has in place to address a situation and how to report it? Is additional training provided to employees in the shipping and receiving areas, as well as those receiving and opening mail? Do you offer specific training to assist employees in maintaining cargo integrity, recognizing internal conspiracies, and protecting access controls? Do you offer incentives for active employee participation in these programs?

Physical Security

Do Cargo handling and storage facilities have physical barriers and deterrents that guard against unauthorized access?

Fencing

Does perimeter fencing enclose the areas around cargo handling and storage facilities? Is interior fencing within a cargo handling structure used to segregate domestic, international, high value, and hazardous cargo? All fencing must be regularly inspected for integrity and damage.

Gates and Gate Houses

Are gates through which vehicles and/or personnel enter or exit manned and/or monitored: The number of gates should be kept to the minimum necessary for proper access and safety.

Parking

Are private passenger vehicles prohibited from parking in or adjacent to cargo handling and storage areas?

Building Structure

Are buildings constructed of materials that resist unlawful entry? Is the integrity of structures maintained by periodic inspection and repair?

Locking Devices and Key Controls

Are all external and internal windows, gates and fences secured with locking devices? Do management or Security personnel control the issuance of all locks and keys?

Lighting

Is adequate lighting provided inside and outside the facility including the following areas: entrances and exits, cargo handling and storage areas, fence lines and parking areas?

Alarms Systems & Video Surveillance Cameras

Do you use alarm systems and video surveillance cameras to monitor premises and prevent unauthorized access to cargo handling and storage areas?

Information Technology (IT) Security

Password Protection

Are automated systems individually assigned accounts that require a periodic change of password? Are IT security policies, procedures and standards in place and provided to employees in the form of training?

Accountability

Is a system in place to identify the abuse of IT including improper access, tampering or the altering of business data? Are system violators subject to appropriate disciplinary actions for abuse?