

**U.S. Customs and Border Protection  
Office of International Trade  
Regulatory Audit**

**Supply Chain Security Questionnaire**

The purpose of the Supply Chain Security Questionnaire is to obtain information regarding the importer's supply chain security management procedures. For the following questions we ask that you (1) provide the written policy or procedure in which your supply chain security procedures are documented, (2) specifically identify the sections and/or pages that address our questions, and (3) if there is no written policy or procedure, provide a narrative describing the process that is in place.

**Business Partner Security**

1. What procedures are in place to screen and select business partners (e.g. foreign consolidators, suppliers, manufacturers, contractors, carriers, vendors, etc.)? Please describe any specific contractual requirements or other procedures that address business partners' supply chain security management.
2. Are business partners permitted to use subcontractors? What are the procedures in place for addressing subcontractors' supply chain security procedures?
3. Are periodic reviews of business partners' processes and facilities conducted? Please describe the frequency, scope, and methodology of these reviews emphasizing how they address supply chain security.
4. Are the business partners' financial soundness and capability of meeting contractual security requirements considered before entering into business arrangements? Please explain.

**Container Security**

5. What procedures are in place to maintain container security and protect against the introduction of unauthorized material and/or persons at the point of stuffing and while the container is in transit?
6. What procedures are in place to verify, prior to stuffing, the physical integrity of shipping containers including procedures to verify the reliability of the locking mechanisms of the doors?
7. What procedures are in place to properly seal shipping containers at the point of stuffing and to maintain the integrity of shipping containers while in transit?
8. What procedures are in place to control and affix seals to loaded containers and to recognize and report compromised seals and/or containers?

9. Are shipping containers stored in a secure area to prevent unauthorized access and/or manipulation? Explain procedures for reporting and controlling unauthorized entry into containers or container storage areas.

#### Physical Access Controls

10. Is an employee identification system used for positive identification and access control purposes? Are employees only given access to those secure areas needed for performance of their duties? Please describe the system and address how access is controlled.
11. Are vendor identification and/or photo identification presented for documentation purposes upon arrival at the company's facilities?
12. What procedures are in place to identify, challenge, and address unauthorized/unidentified persons?

#### Personnel Security

13. Are background checks conducted for prospective employees? Is application information (employment history, references, etc.) verified prior to employment? Once employed, are periodic reinvestigations performed?
14. What procedures are in place to ensure a terminated employee's identification and facility and system access are removed?

#### Procedural Security

15. What procedures are in place to ensure all information used in the clearing of merchandise/cargo is legible, complete, accurate, and protected against the exchange, loss, or introduction of erroneous information?
16. Is arriving cargo reconciled against information on the cargo manifest? Explain how shortages, overages, and other significant discrepancies or anomalies are resolved and investigated.

#### Security Training and Threat Awareness

17. Does the company have an established "threat awareness" program designed to recognize the threat posed by terrorists at each point in the supply chain?
18. Are employees made aware of the procedures that the company has in place and how to report security issues? How often do employees receive training?

**Physical Security**

19. Is there fencing enclosing the areas around cargo handling and storage facilities? Are international, high value, and hazardous cargo segregated?
20. Are gates through which vehicles and/or personnel enter manned and/or monitored? Is adequate lighting provided inside and outside of the facility to include entrances, exits, cargo handling areas, storage areas, fence lines, and parking areas? Are private passenger vehicles prohibited from parking in or adjacent to cargo handling and storage areas?

**Information Technology Security**

21. Do the company's automated systems assign individual accounts that require periodic changes to passwords? Are Information Technology (IT) security policies in place and provided to employees in the form of training?
22. Are there procedures in place to identify the abuse of IT systems including improper access, tampering, or the altering of business data? Are systems violators subject to appropriate disciplinary actions?