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1. Company name _____

2. Address of corporate office or primary facility

CITY STATE/PROVINCE POSTAL CODE

COUNTRY

3. Please indicate the service that your company provides to Green Worldwide shipping. Check all that apply

- ☐ SEA CARRIER ☐ AIR CARRIER ☐ U.S. GROUND TRANSPORTATION
☐ U.S. WAREHOUSING ☐ U.S. CUSTOMS BROKERAGE ☐ OTHER, PLEASE SPECIFY _____

4. Who is the person responsible for the security of your Company?

FIRST NAME: LAST NAME

TITLE

ADDRESS

CITY STATE/PROVINCE POSTAL CODE

COUNTRY PHONE FAX

EMAIL

PHYSICAL SECURITY

C-TPAT Requirement: Buildings must be constructed of materials that resist unlawful entry. The integrity of structures must be maintained by periodic inspection and repair.

1. Does your company have written physical security standards? ☐ Yes ☐ No (please comment)

2. Are all buildings and storage yards constructed of materials that resist unlawful entry and protect against outside intrusion? ☐ Yes ☐ No (please comment)

3. Does your company have secure perimeter fencing around buildings and warehouses?

☐ Yes ☐ No (please comment)

4. Do you segregate International, Domestic, high-value and/or dangerous cargo in a marked secure area within the warehouse or storage yard that is caged or fenced in? ☐ Yes ☐ No (please comment)

5. Are the gates through which vehicles enter cargo handling and storage facilities manned and/or monitored at all times when the facility is open? ☐ Yes ☐ No (please comment)

6. Are the aforementioned entrance gates closed and locked and monitored when the facility is closed?

☐ Yes ☐ No (please comment)

7. Do you use CCTV surveillance cameras to monitor the entrances to the facility and the cargo handling and storage areas? ☐ Yes ☐ No (please comment and skip to question 9)

8. Does the CCTV System provide coverage of both exterior and interior areas of the facility, including all employee entrances and cargo loading doors? ☐ Yes ☐ No (please comment)

9. Do you store the recorded CCTV data for at least 30 days or more? ☐ Yes ☐ No (please comment)

10. Do management and/or security personnel control the issuance of keys or other access devices?

☐ Yes ☐ No (please comment)

11. Is the facility equipped with an alarm system to monitor the entrances to the facility?

☐ Yes ☐ No (please comment and skip to question 19)

12. Do you have written procedures to report unauthorized entry into the facility to appropriate authorities law enforcement officials (local police) or other security personnel including alarms monitoring companies?

☐ Yes ☐ No (please comment)

13. Please describe the procedure that is followed by the alarm monitoring company when it receives a signal that the system has been breached.

14. Please define what employees have the code to arm and disarm the alarm system? (Titles only. No names required.)

15. Does each employee have a unique code and are codes changed periodically?

☐ Yes ☐ No (please comment)

16. Is there adequate lighting inside and outside the facility, including parking areas, fence lines, entrances and exits, and cargo handling and storage areas? ☐ Yes ☐ No (please comment)

17. Are locking devices used to secure external and internal doors, windows, gates and fences?

☐ Yes ☐ No (please comment and skip to question 24)

18. Please describe the locking mechanisms used to secure external and internal doors, windows, gates and fences. (Manual, electronic, etc.)

19. Are there separate parking areas for employee/visitor vehicles and the shipping/loading dock and cargo areas? ☐ Yes ☐ No (please comment)

ACCESS CONTROLS

1. How many employees do you have at this facility? _____

2. Do you have a positive identification system, for all employees, vendors, and visitors before they can enter the facility? ☐ Yes ☐ No (please comment)

3. Do employees have access only to those areas in which they perform their duties?

☐ Yes ☐ No (please comment and skip to question 24)

4. Do management and/or security personnel control the issuance and reclaiming of employee, visitor and vendor identification badges? ☐ Yes ☐ No (please comment)

5. Do you maintain a written log in which vendors and/or visitors sign in with their name, company, date of visit and time of arrival and departure? ☐ Yes ☐ No (please comment)

6. Are visitors required to present photo identification upon arrival? ☐ Yes ☐ No (please comment)

7. Are visitors required to visibly display a temporary identification badge while on the premises?

☐ Yes ☐ No (please comment)

8. Are visitors escorted at all times by company personnel while on the premises?

☐ Yes ☐ No (please comment)

9. Are vendors and other delivery personnel required to present photo identification upon arrival?

☐ Yes ☐ No (please comment)

10. Are arriving packages and mail periodically screened before delivery within the company?

☐ Yes ☐ No (please comment and skip to question 12)

11. Do you have training for management and employee's for best practices in screening of mail packages as well as courier packages? ☐ Yes ☐ No (please comment)

12. Is unauthorized access to all facilities and conveyances prohibited such as shipping & receiving areas, loading docks, offices, etc.? ☐ Yes ☐ No (please comment)

13. Do you have procedures to challenge unauthorized/unidentified persons and to report problems to local law enforcement officials? ☐ Yes ☐ No (please comment)

PROCEDURAL SECURITY AND CONTAINER/CONVEYANCE SECURITY

1. Does your company have written procedures in place to protect against un-manifested or illegal material being introduced into the supply chain? ☐ Yes ☐ No (please comment)

2. Do you have a transportation tracking system to monitor and report the timely movement of incoming and outgoing freight (GSP, etc.). ☐ Yes ☐ No (please comment)

3. Do you have procedures in place for the reporting of any abnormalities in the movement of cargo?
☐ Yes ☐ No (please comment)

4. Do you have a designated security officer or other warehouse management to supervise the loading and unloading of cargo from containers, trailers and ULD's? ☐ Yes ☐ No (please comment)

5. Are there procedures employed to inspect, properly seal and maintain the integrity of containers and trailers using the 7-point inspection process for empty containers and the 17-point inspection process for empty trailers prior to the loading and after the unloading of cargo? ☐ Yes ☐ No (please comment)

6. Do you have procedures in place and a secure location for the storage of empty containers to prevent unauthorized access? ☐ Yes ☐ No (please comment)

7. Do you have documented procedures for affixing, replacing, recording, tracking and verifying seals on containers or trailers? ☐ Yes ☐ No (please comment)

8. For outbound loaded containers do you use seals that meet or exceed the current PAS ISO 17712 specifications for high security seals. ☐ Yes ☐ No (please comment)

9. Do you maintain a written inventory log confirming all high security seals that are to be applied to outbound containers and trailers are accounted for? ☐ Yes ☐ No (please comment)

10. For inbound cargo do your receiving procedures include the detailed checking of security seals to confirm that they meet PAS ISO 17712 specifications, performance of a physical check to assure that the seal has not been compromised, and confirmation that the seal number matches number listed on the shipment manifest and/or packing list prior to the opening of the container? ☐ Yes ☐ No (please comment)

11. Do you keep and maintain all physical cut seals in a secured storage location? ☐ Yes ☐ No (please comment)

12. If there is evidence of tampering, seal is missing, or if the physical seal number does not match the shipping documents, do you move the container to a secure area and hold it intact until the discrepancy is resolved?

☐ Yes ☐ No (please comment)

13. Do you verify the quantity and identity of goods against the shipping manifest and/or packing documents as they are unloaded or loaded? ☐ Yes ☐ No (please comment)

14. Do you have procedures for the reporting and documenting of any and all discrepancies found during the loading or unloading process? ☐ Yes ☐ No (please comment)

15. Are drivers delivering cargo positively identified before the shipment is accepted? ☐ Yes ☐ No (please comment)

16. Do you maintain a written log of the identity of drivers who deliver cargo and the identifying number and seal associated with the container or trailer that was delivered? ☐ Yes ☐ No (please comment)

17. Are drivers picking up cargo positively identified before the shipment is released? ☐ Yes ☐ No (please comment)

18. Do you maintain a written log of the identity of drivers who pick up cargo and the identifying number and seal of the container or trailer that were picked up? ☐ Yes ☐ No (please comment)

19. Do you have procedures to ensure that all information related to shipments is protected against loss or the introduction of erroneous information? ☐ Yes ☐ No (please comment)

20. Do you have procedures to ensure that all shipping documents are legible, complete and accurate?

☐ Yes ☐ No (please comment)

21. Do you have written procedures to report unauthorized entry into containers or container storage areas to local law enforcement officials? ☐ Yes ☐ No (please comment)

22. Do you have written procedures to notify U.S. Customs and/or the appropriate local law enforcement officials when anomalies or illegal activities are suspected? ☐ Yes ☐ No (please comment)

DOCUMENTATION SECURITY

1. Do you have controls in place to check the accuracy of all shipping documents, including invoices and packing lists? ☐ Yes ☐ No (please comment)

2. Do you verify documentation of cargo and cargo equipment against the manifest document?

☐ Yes ☐ No (please comment)

3. (Brokers only): Are there procedures to ensure that all information provided by the importer, exporter, freight forwarder, etc. and used in the clearing of goods is legible and protected against the exchange, loss or introduction of erroneous information? ☐ Yes ☐ No (please comment)

4. (Brokers only): Do documentation controls include (where applicable) procedures for ensuring the accuracy of the information about the cargo to be cleared, including: shipper and consignee names and addresses, first and second notify parties, description, weight, quantity, and unit of measure (e.g. boxes, cartons, etc.?)

☐ Yes ☐ No (please comment)

INFORMATION TECHNOLOGY SECURITY

1. Do you have controls in place to check the accuracy of all shipping documents, including invoices and packing lists? ☐ Yes ☐ No (please comment)

2. Is your computer system, main server, in a secure and locked location to prevent un-authorized access to the physical system and data contained therein? ☐ Yes ☐ No (please comment)

3. Do you use individually assigned accounts for personnel to access your information technology systems?

☐ Yes ☐ No (please comment)

4. Do the accounts limit access to information and programs on the basis of an employee's need to know and need to do for the performance of her/his duties? ☐ Yes ☐ No (please comment)

5. Do you require users to periodically change the passwords used to access your information technology systems?

☐ Yes ☐ No (please comment)

6. Do you use firewalls to protect your information technology systems from unauthorized access from the internet?

☐ Yes ☐ No (please comment)

7. Do you have a system to identify the abuse of your information technology systems including the improper access, tampering or altering of business data? ☐ Yes ☐ No (please comment)

PERSONNEL SECURITY

1. Do you conduct pre-employment screening and background checks on prospective employees where permitted by law? ☐ Yes ☐ No (please comment)

2. Please describe the information reviewed in the background checks.

3. Do you periodically conduct background checks on current employees based on cause and/or the sensitivity of the employee's position? ☐ Yes ☐ No (please comment)

4. Do you verify the information provided by job applicants, including employment history and references prior to employment? ☐ Yes ☐ No (please comment)

5. Do you have procedures to report and manage problems related to personnel security?

☐ Yes ☐ No (please comment)

6. Do you have procedures to remove identification badges, keys, smart cards to deny facility and information systems access for terminated employees? ☐ Yes ☐ No (please comment)

EMPLOYEE EDUCATION AND THREAT AWARENESS

1. Do you have a security awareness program to educate employees to recognize internal conspiracies, maintain cargo integrity and to identify and address security issues? ☐ Yes ☐ No (please comment)

2. Do you provide training in documentation fraud? ☐ Yes ☐ No (please comment)

3. Do you provide training in computer security controls and their practices? ☐ Yes ☐ No (please comment)

4. Does your security program encourage and reward employees for active participation in security programs?

☐ Yes ☐ No (please comment)

5. Do you have a threat awareness program established and maintained by security personnel and designed to recognize and foster awareness of the threat posed by terrorists and contraband smugglers?

☐ Yes ☐ No (please comment)

PARTICIPATION IN OTHER CUSTOMS SECURITY INITIATIVES

1. Are you participating in any security initiatives administered by your local customs authority?

☐ Yes ☐ No (please skip to VERIFICATION on next page)

2. Please provide the name(s) of the customs initiative(s).

3. What is your status in the initiative (for example, certified, validated, approved, etc.)

VERIFICATION

1. Are the specific procedures identified in this questionnaire response maintained in a verifiable format?

☐ Yes ☐ No (please comment)

2. Who completed this questionnaire?

FIRST NAME: _____ LAST NAME _____

TITLE _____

ADDRESS _____

CITY _____ STATE/PROVINCE _____ POSTAL CODE _____

COUNTRY _____ PHONE _____ FAX _____

EMAIL _____

3. I hereby certify that I am the person identified in question 2 on page 12 of this questionnaire, that I am an officer or employee of the company identified in question 1 on page 1 of this questionnaire, that I possess the knowledge and/or information necessary to accurately complete this questionnaire and that I have answered all questions accurately and truthfully to the best of my knowledge. ☐ Yes ☐ No (please comment)

SIGNATURE

DATE

Additional Comments
