



Partners in Protection / C-TPAT Supply Chain Security Questionnaire

Dear: Supply Trade Partner

As you are aware there have been several changes in the transportation industry over the past few years. One of the most enforced and most obvious changes has been at our “International Borders”. Both the Canadian and the U.S. governments have developed and implemented “National Security Programs” to increase border security.

Royal Transport LTD has been a certified member of these programs since 2010.

As part of the requirements under both the PIP (Partners in Protection) and C-TPAT (Customs-Trade Partnership Against Terrorism) security programs Royal Transport LTD is required to have written and verifiable processes for the screening of business partners, including carrier’s agents, sub-contracted highway carriers, and service providers, as well as screening procedures for new customers, beyond financial soundness issues to include security indicators, such as business references and professional associations.

Attached you will find a “Supply Chain Security” questionnaire.

Please complete the questionnaire

Your completed questionnaire is required prior to Royal Transport LTD commencing any transportation services or prior to any other carrier providing transportation services on Royal Transport LTD behalf.

Your cooperation is greatly appreciated.

Thank you in advance.

Royal Transport LTD
207 Edgeley Blvd, Unit 5, 2nd Floor
Concord, ON L4K4B5
Tel: 905-370-0470
Fax: 905-482-3919
email: info@royaltransgroup.com
www.royaltransgroup.com

Company Name: _____

Address: _____

City: _____

Province/State: _____

Postal/Zip Code: _____

Country: _____

Attention: _____

Phone: _____

Fax: _____

Toll Free: _____

Direct Line: _____

Email: _____

Type of Supplier/Service Provider (please check all that apply):

<input type="checkbox"/> Steamship Line	<input type="checkbox"/> NVOCC	<input type="checkbox"/> Air Carrier
<input type="checkbox"/> Air Freight Consolidator	<input type="checkbox"/> CFS/Warehouse	<input type="checkbox"/> Freight Forwarder
<input type="checkbox"/> Customs Broker	<input type="checkbox"/> Highway Carrier	<input type="checkbox"/> Product Supplier
<input type="checkbox"/> Courier	<input type="checkbox"/> Rail Carrier	<input type="checkbox"/> Other (specify below)
Other: _____		

Business Partner Requirement – General

Key : N/A - Not applicable U/D - Under development		YES	NO	N/A	U/D
1	Is your company a participant in the Partners in Protection (PIP) security program?				
2	Is your company a participant in the Customs-Trade Partnership Against Terrorism (C-TPAT) security program?				

If you answered "YES" to 1 and/or 2 above regarding your participation in PIP or C-TPAT, you can skip to questions 10, 11 and 12 and ignore the balance of the questions. Please return the completed questionnaire along with a copy of your PIP or C-TPAT certification documents and any other certificates you might possess (FAST, CSA, CSI, etc.). Please remember to complete and sign page 6!!

3	Do you conduct comprehensive assessments of your international supply chain on an annual basis, including the polling of all business partners to determine their current participation in an approved security program?				
4	Is this procedure documented and are records kept?				
5	In the event that a condition of heightened alert, security breach or incident exists, do you have written procedures in place to conduct comprehensive assessments of your international supply chain?				
6	Do you set conditions on parties that you out-source or contract to provide you with facilities, warehousing or other supply chain elements?				

Business Partners must meet internal requirements, such as financial soundness, capability of meeting contractual security requirements, and the ability to identify and correct security deficiencies as needed.

7	Are you financially able to meet all contractual obligations?				
8	Are you capable of meeting contractual security requirements?				
9	Do you have ability to identify and correct security deficiencies as needed?				
10	Does your company intend to participate in the Canadian Customs PIP program in the future?				
11	Does your company intend to participate in the US Customs C-TPAT program in the future?				
12	Does your company participate in any other Canadian, US or other WCO accredited security programs, i.e. Free and Secure Trade (FAST), Customs Self-Assessment (CSA), Carrier Initiative Program (CIP)? If yes, please name each one on a separate page.				

Business Partner Requirement – Security Procedures

Key : N/A - Not applicable U/D - Under development		YES	NO	N/A	U/D
13	Do you have a Supply Chain Security Questionnaire that you send out for the purpose of determining your business partner's participation in C-TPAT, PIP or other WCO (World Customs Organization) approved security program?				
14	Do you document responses to the questionnaire?				
15	Do you subject your business partner's to a documented risk assessment process relating to basic security criteria?				
16	Do you grade your business partners once their level of participation has been determined (to determine which will contribute positively to a secure supply chain)?				
17	If you are a carrier and you sub-contract the movement of your goods to other carriers, do you obtain verification from your sub-contracted carrier that they are PIP, C-TPAT or other WCO Security Program certified or meet the requirements of a recognized security program?				
18	Do you have documented procedures do you have in place to obtain verification that this is being done?				
19	Do you maintain records of the above?				
20	Do you have effective security procedures and controls at point of stuffing?				

Business Partner Requirement – Point of Origin

Key : N/A - Not applicable U/D - Under development		YES	NO	N/A	U/D
21	Do you obtain undertakings from your business partners to insure they develop security processes and procedures consistent with PIP, C-TPAT or other WCO Security program security criterion to enhance the integrity of your shipments at point of origin?				

Business Partner Requirement – Foreign Supply Chain Security Program Participation

22	Have you verified if current or prospective business partners have obtained a certification in a supply chain security program as administered by foreign Customs Administrations?				
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Container and Trailer Security

23	Do you have procedures do you have in place to maintain container or trailer integrity to protect against the introduction of unauthorized material and/or persons at the point of shipping?				
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Container and Trailer Security – Container Inspection

24	Do you have procedures to verify the physical integrity of the container structure prior to stuffing, to include the reliability of the locking mechanisms of the doors?				
25	Do you employ the seven point inspection process (front wall, left side, right side, floor, ceiling/roof, inside/outside doors and outside/undercarriage)?				

Container and Trailer Security – Trailer Inspection

26	Do you have procedures to verify the physical integrity of the trailer or structure prior to stuffing, to include the reliability of the locking mechanisms of the doors?				
27	Do you employ the five point inspection process (fifth wheel area - check natural compartment/skid plate, exterior - front/sides, rear - bumper/doors, front wall and left side)?				

Container and Trailer Security – Container and Trailer Seals

Key : N/A - Not applicable U/D - Under development		YES	NO	N/A	U/D
28	Do you employ container/trailer seals that meet or exceed the current PAS ISO 17712 standards for high security seals?				
29	Do you have written procedures stipulating how seals are to be controlled and affixed to loaded containers?				
30	Do you have a procedure for recognizing and reporting compromised seals and/or containers to the Canada Border Services Agency, US Customs and Border Protection or the appropriate foreign authority?				
31	Do you ensure that only specific designated employees distribute container seals for integrity purposes?				

Container and Trailer Security – Container and Trailer Storage

32	If you are a carrier, do you store containers and trailers in a secure area to prevent unauthorized access and/or manipulation?				
33	If you are not a carrier, do you confirm that business partners store containers and trailers in a secure area to prevent unauthorized access and/or manipulation?				
34	Do you have procedures in place for reporting and neutralizing unauthorized entry into containers or trailers or container or trailer storage areas?				

Physical Access Controls – Employees

35	Is an employee identification system in place for positive identification and access control purposes?				
36	Is employee access restricted to only those secure areas needed for the performance of their duties?				
37	Do you have a control process for the issuance and removal of employee identification?				
38	Are the procedures for the issuance, removal and changing of access devices (e.g. keys, key cards, etc.) documented?				

Physical Access Controls – Visitors

39	Are all visitors required to present photo identification for documentation purposes upon arrival?				
40	Do you maintain a log book to keep records of all visitors?				
41	Are all visitors escorted at all times and required to display visible temporary identification?				

Physical Access Controls – Deliveries (Including Mail)

42	Do you request proper vendor ID and/or photo identification from all arriving couriers, delivery companies, drivers, repair representatives, suppliers, etc.?				
43	Are all arriving packages and mail periodically screened before being disseminated?				

Physical Access Controls – Challenging and Removing Unauthorized Persons

44	Are procedures in place to identify, challenge and address unauthorized or unidentified persons?				
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Personnel Security – Pre-Employment Verification

Key : N/A - Not applicable U/D - Under development		YES	NO	N/A	U/D
45	Do you verify employment history and references of all potential employees prior to employment?				
46	Do you utilise outside employment agencies and what documentation do you have in place to ensure they are checking employment history and references?				
47	Do you verify their information?				

Personnel Security – Background Checks/Investigations

48	Do you perform background checks and investigations on any prospective employees that are consistent with foreign, federal, provincial/state, and local regulations?				
49	Once employed are all employees subject to periodic checks and reinvestigations performed based on cause, and/or the sensitivity of their position?				

Personnel Security – Personnel Termination Procedures

50	Are procedures in place to remove identification, facility, and system access for terminated employees?				
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Procedural Security – Documentation Processing

51	Are procedures in place to ensure that all information used in the customs clearing of merchandise/cargo, is legible, complete, accurate, and protected against the exchange, loss or introduction of erroneous information?				
52	Are controls in place to protect or restrict access to documentation preparation programs, including the safeguarding of computer access and information?				

Procedural Security – Manifesting Procedures

53	Are procedures in place to ensure that information received from business partners is reported in an accurate and timely fashion?				
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Procedural Security – Shipping and Receiving

54	Is all arriving cargo reconciled against information on the cargo manifest?				
55	Is the cargo accurately described, and the weights, labels, marks and piece count indicated and verified?				
56	Is departing cargo verified against purchase or delivery orders?				
57	Are drivers delivering or receiving cargo positively identified before cargo is received or released?				

Procedural Security – Cargo Discrepancies

58	Are all shortages, overages, and other significant discrepancies or anomalies resolved and/or investigated?				
59	Is Customs and/or other appropriate law enforcement agencies notified if illegal or suspicious activities are detected? Are there written procedures? If so, please describe.				
60	Are there written procedures for the above?				

Physical Security – Fencing

61	Do you have perimeter fencing?				
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Physical Security – Fencing – Cont’d.

Key : N/A - Not applicable U/D - Under development		YES	NO	N/A	U/D
62	If you answered yes to the above, does it enclose all areas around cargo handling and storage facilities?				
63	Do you have Interior fencing within a cargo handling structure to segregate domestic, international, high value, and hazardous cargo?				
64	Do you regularly inspect all fencing for integrity and damage?				

Physical Security – Gates and Gate Houses

65	Do you have gates through which vehicles and/or personnel enter or exit?				
66	If you answered yes to the above, are these gates manned and/or monitored?				

Physical Security – Parking

67	Are private passenger vehicles prohibited from parking in or adjacent to cargo handling and storage areas?				
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Physical Security – Building Structure

68	Are all buildings constructed of materials that resist unlawful entry?				
39	Are all buildings and structures maintained by periodic inspection?				
70	Are all buildings repaired immediately when required?				

Physical Security – Locking Devices and Key Controls

71	Are all external and internal windows, gates and fences secured with suitable locking devices?				
72	Do you control the issuance of all locks and keys?				
73	Do you have a process in place to recover access control devices upon the departure of an employee from the company?				

Physical Security – Lighting

74	Is adequate lighting provided inside and outside your premises?				
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Physical Security – Alarm and Video Surveillance Systems

75	Do you maintain an alarm system to monitor your premises and prevent unauthorized access to cargo handling and storage areas?				
76	Do you maintain video surveillance cameras to monitor your premises and prevent unauthorized access to cargo handling and storage areas?				

Information Technology Security – Password Protection

77	Do you assign user names (accounts) and passwords to all employees?				
78	Do you document and control all user names and passwords issued?				
79	Are passwords changed regularly?				
80	Do you remove system access for terminated employees?				
81	Do you have a security policy, procedural or standards training that you provide to new and existing employees?				
82	Do you grant outside access to your automated systems? Examples would be external I.T. service providers, repair technicians, customers, etc.				
83	Do you have documented procedures for the above?				

Information Technology Security – Accountability

84	Do you identify I.T. abuse by employees?				
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Information Technology Security – Accountability – Cont'd.

Key : N/A - Not applicable U/D - Under development		YES	NO	N/A	U/D
85	Do you have documented procedures for the above?				
86	Do provide disciplinary action if abuse occurs?				
87	Do you have documented procedures for the above?				
88	Do you have a system in place to identify I.T. abuse by external parties?				
89	Do you have documented procedures for the above?				

Security Training and Threat Awareness

90	Do you currently have a threat awareness program in place to recognize and foster awareness of the threat posed by terrorists at each point in the supply chain?				
91	Are employees made aware of the procedures the company has in place to address a situation and how to report it?				
92	Are these procedures documented?				
93	Is additional training provided to employees in the shipping and receiving areas, as well as those receiving and opening mail?				
94	Is specific training offered to assist employees in maintaining cargo integrity, recognizing internal conspiracies, and protecting access controls?				
95	Are incentives offered for active employee participation in these programs?				
96	Do you have a documented and verifiable process for determining risk throughout your supply chain, based on your business model (i.e., volume, country of origin, routing, PIP, C-TPAT or other WCO recognized security program membership, potential terrorist threat via open source information, having inadequate security, past security incidents, etc.)?				

I certify that the information provided in this Supply Chain Security Questionnaire is true, accurate and was completed without prejudice.

By signing this document, we agree to immediately advise of any changes, additions or deletions to the information provided in this questionnaire.

Signature	Title (please print)
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Name (please print)	Date
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Please mail, fax (or scan and email) the completed and signed questionnaire to the address shown below:

Company Name: Royal Transport LTD

Address: 207 Edgeley Blvd, Unit 5, 2nd Floor

City: Concord, ON	State/Province: Ontario
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Postal/Zip Code: L4K4B5	Country: Canada
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Attention: Evgeny	Title:
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Phone: 905-370-0470	Fax: 905-482-3919
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Email: EVGENY@ROYALTRANSGROUP.COM	Web:
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