

General Information: The completion of this questionnaire supports Genesco's certification with the U.S. Customs Trade Partnership Against Terrorism (CTPAT) program. Depending on risk, it may be completed in conjunction with a site visit by Genesco, or independently by the provider (i.e. no site visit).

Purpose: This questionnaire is intended to address all CTPAT requirements/recommendations. It represents Genesco's good faith effort to refresh CTPAT awareness, identify any major gaps at the supplier's site, and encourage CTPAT (or country equivalent) certification for third party providers.

Scope: This applies to providers shipping **from outside the US to Genesco sites, inside the US**

Frequency: This questionnaire will be periodically updated, in consultation with Genesco.

General Information: Supplier Shipping to US Genesco Locations		Date: Click to enter a date.
Company Name		
Address / City / Country		
1st Contact: Name / Title		
Phone Number / Email		
2nd Contact: Name / Title		
Phone Number / Email		

Facility Information			
What activities are performed at this site?	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Warehouse	<input type="checkbox"/> Shipping
	<input type="checkbox"/> Other Click here to enter text.		
<p>Note: Facilities that have previously completed a Genesco CTPAT form may wish to refer to it when completing this questionnaire.</p>			

IMPORTANT NOTE:

Genesco partners / suppliers currently certified in one of the CTPAT-approved supply chain security programs (listed below), may enter their certification number and disregard the remainder of this questionnaire.

Country Program	Certification Number / ID	Country Program	Certification Number / ID
Canada: PIP		Korea: AEO	
Dominican Republic: AEO		Mexico: NEEC	
European Union: AEO		New Zealand: SES	
Israel: AEO		Singapore: STP	
Japan: AEO		Taiwan: AEO	
Jordan: Golden List		U.S.: CTPAT	

Acknowledgment: <i>I hereby certify that the responses and any added or attached information in this document is accurate, valid, current, and that all requirements have been met.</i>	
Name:	Title:
Signature:	

Once you have completed this questionnaire, you will need to print a copy, have an authorized person from your company sign the last page, and scan a copy. Email the scanned copy of the completed, signed questionnaire along with any support documents such as manuals, standard operating procedures, reports, etc. that you wish to include in your submission to Genesco **ATTN: Globalcompliance@genesco.com**.

Section 1 – Security Management System

#	Section/Control Description	Yes, No, or N/A	Description of Procedure If you answer "Yes" or "NA" you must describe your process or why you feel the question is Not Applicable (N/A)
1.1	Is there a manager or supervisor responsible for implementing security within the company? Please provide the security manager's name and contact information.	Choose an item.	
1.2	Is there a designated security representative at each company location to supervise security practices and to review the introduction and removal of cargo in the receiving and shipping process?	Choose an item.	
1.3	Are there written security policies and procedures that include physical security, access controls, personnel security, education and awareness, container security, manifest and conveyance security, the handling of incoming and outgoing goods to identify overages and shortages or the introduction of unmanifested or illegal goods?	Choose an item.	
1.4	Is there a documented process for reporting and investigating security related incidents and to report them on a timely basis to Customs or law enforcement officials?	Choose an item.	
1.5	Are close working relationships maintained with local law enforcement authorities?	Choose an item.	
1.6	Are there effective internal and external communication protocols in place to notify security personnel and law enforcement in the event of an incident?	Choose an item.	
1.7	Are emergency contact numbers of law enforcement, company management, customers, and contractors maintained for notification in the event of an incident?	Choose an item.	
1.8	Are internal reviews conducted of all security operations at least annually including unannounced assessments of shipping receiving, manufacturing, and cargo storage?	Choose an item.	
1.9	Is there a documented security improvement plan? (If yes, attach to assessment report.)	Choose an item.	
1.10	Do all your contracts with transportation suppliers and other service providers involved in shipping, handling, or storing of exports to the US include minimum-security requirements that include all the current C-TPAT requirements?	Choose an item.	
1.11	Do you participate in any other Customs Authority supply chain security programs sponsored by non-U.S. customs agencies?	Choose an item.	
1.12	Is the identity of vendors delivering packages and mail verified to a photo ID and are arriving packages and mail periodically screened prior to delivery.	Choose an item.	
1.13	Do you conduct C-TPAT compliance assessments of all your suppliers that are involved in the handling, transporting or storing cargo destined to the US?	Choose an item.	

Section 1 Comments

Section 2 – Physical Security

#	Section/Control Description	Yes, No, or N/A	Description of Procedure If you answer "Yes" or "NA" you must describe your process or why you feel the question is Not Applicable (N/A)
2.1	Does the facility have written physical security procedures?	Choose an item.	
2.2	Are all cargo handling and storage areas adequately protected from unauthorized access by perimeter fencing or natural barriers?	Choose an item.	
2.3	Is an adequate clear zone maintained on both sides of the fence or barrier to ensure a clear view of the perimeter and prevent individuals from hiding themselves or scaling the fence (e.g. no brush, trees or other vegetation or material)?	Choose an item.	
2.4	Are the fence/barrier and the clear zone periodically inspected to ensure their integrity?	Choose an item.	
2.5	Are there controls in place to prevent unauthorized vehicles from entering the premises or, at a minimum, the truck pad, container storage, and dock areas? (For example, is there a manned gatehouse and do the guards have written post orders).	Choose an item.	
2.6	Are controls in place to identify positively drivers with a government-issued photo ID?	Choose an item.	
2.7	Are controls in place to prevent unauthorized individuals from entering the facility; shipping and receiving docks; trailers, trucks, and containers? (e.g., are entrances manned or covered by electronic access control with CCTV)	Choose an item.	
2.8	Are personnel entrances to the facility limited to the smallest number? Are personnel entrances manned or monitored electronically to prevent unauthorized access?	Choose an item.	
2.9	Do employees wear identification badges and are those without badges challenged?	Choose an item.	
2.10	Do identification badges include photographs?	Choose an item.	
2.11	Are all visitors/contractors: Authorized by management; Positively identified with government-issued photo ID; Recorded in a visitor log; and Provided identification badges?	Choose an item.	
2.12	Are visitors required to be escorted?	Choose an item.	
2.13	Is there a policy that prohibits personal belongings or packages from being brought into the facility or, if allowed, are they inspected upon entrance and egress to prevent the introduction of unauthorized material or the removal of company assets?	Choose an item.	
2.14	Are random trash inspections conducted, removal procedures evident, and trash bin locations monitored or controlled?	Choose an item.	
2.15	Is the lighting of the facility interior adequate - including entrance lobbies, dock loading areas, and emergency exits?	Choose an item.	
2.16	Is the exterior lighting adequate - including personnel doors, emergency exits, dock doors, container storage	Choose an item.	

#	Section/Control Description	Yes, No, or N/A	Description of Procedure If you answer "Yes" or "NA" you must describe your process or why you feel the question is Not Applicable (N/A)
	areas, and truck pads? Is the lighting sufficient for high quality CCTV recording?		
2.17	Is the building constructed of materials that resist unlawful entry and are periodically inspected?	Choose an item.	
2.18	Are all doors/windows/openings adequately locked and secured to prevent unauthorized access to the facility and monitored by an intrusion or motion detection/burglar alarm system monitored 24/7 by police or a central control station that is secure from attack or compromise?	Choose an item.	
2.19	Is there a working CCTV system that covers the exterior of the buildings including the personnel entrances, the interior and exterior of the docks, and yards where trailers and containers are loaded/unloaded and stored? Is the CCTV system monitored and recorded?	Choose an item.	
2.20	Are video recordings kept a minimum of 30 days?	Choose an item.	
2.21	Are adequate controls in place to ensure the quality of video recordings (e.g., tapes replaced every 3-6 months and periodically reviewed for quality)?	Choose an item.	
2.22	Is an alarm system utilized in to prevent/deter unauthorized, after-hours access to cargo handling and storage areas?	Choose an item.	
2.23	Is access to the alarm and video recording equipment control center restricted to need?	Choose an item.	
2.24	Do you utilize security guards on site? If yes, are the post procedures documented, comprehensive and current?	Choose an item.	
2.25	Are international, domestic, high-value, and dangerous goods properly segregated by fence, safe or cage, with access restricted to need and properly marked?	Choose an item.	
2.26	Are controls in place to prevent unauthorized access to computer systems? (e.g., user passwords required, system firewalls and virus protection, secured servers)	Choose an item.	
2.27	Are lock and key controls, practices and procedures adequate?	Choose an item.	

Section 2 Comments:

Section 3 – Human Resources: (Personnel Security & Education and Awareness)

#	Section/Control Description	Yes, No, or N/A	Description of Procedure If you answer "Yes" or "NA" you must describe your process or why you feel the question is Not Applicable (N/A)
3.1	Are pre-employment background checks conducted that include criminal checks and application verification fully allowed by law?	Choose an item.	
3.2	Are periodic checks and reinvestigations performed based on cause and/or the sensitivity of the employee's position?	Choose an item.	
3.3	Are the same background checks required for temporary employees and contract personnel?	Choose an item.	
3.4	Are employees (temporary and permanent) and contractors subject to drug testing?	Choose an item.	
3.5	Are employment applications verified prior to hiring? Are all references, prior employment, citizenship, checked?)	Choose an item.	
3.6	Do all employees receive security training during new employee orientation and on an ongoing basis? Does security training cover unauthorized access, the threat of terrorism, maintaining cargo integrity, and the recognition of internal conspiracies?	Choose an item.	
3.7	Does the company have a written Code of Conduct?	Choose an item.	
3.8	Are employees trained or recognize suspicious or illegal activity and how to report it? Is there an employee hotline or other process to enable/encourage employees to report wrongdoing anonymously?	Choose an item.	
3.9	Are employees encouraged and rewarded to report anomalies and wrongdoings?	Choose an item.	
3.10	Do key personnel receive training in document fraud and computer security?	Choose an item.	

Section 3 Comments:

Section 4 – Container Security

#	Section/Control Description	Yes, No, or N/A	Description of Procedure If you answer "Yes" or "NA" you must describe your process or why you feel the question is Not Applicable (N/A)
4.1	Are their written procedures in place to verify the physical integrity of the container before stuffing?	Choose an item.	
4.2	Do the procedures include a 7-point process (front, left side, right side, floor, ceiling/roof, inside/outside doors, outside undercarriage)?	Choose an item.	
4.3	Is the individual who inspects the container required to sign-off on an inspection checklist?	Choose an item.	
4.4	Is the container/trailer sealed with a high-security bolt seal that meets or exceeds PAS ISO 17712 for high-security bolt seals?	Choose an item.	
4.5	Is there a written procedure that stipulates how seals are to be controlled and utilized?	Choose an item.	
4.6	Does this include the recognition of compromised seals and reporting to Customs and local law enforcement?	Choose an item.	
4.7	Are seal numbers recorded on the shipping instructions?	Choose an item.	
4.8	Are seals kept in a secure place under lock and key with access to only those employees that are authorized to distribute seals?	Choose an item.	
4.9	Are all trailers/containers, etc. of solid-walled construction and in good condition?	Choose an item.	

Section 4 Comments:

Section 5 – Procedural, Documentation Processing, Manifest and Information Security

#	Section/Control Description	Yes, No, or N/A	Description of Procedure If you answer "Yes" or "NA" you must describe your process or why you feel the question is Not Applicable (N/A)
5.1	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?	Choose an item.	
5.2	Are procedures in place to ensure that all information used in the clearing of merchandise/cargo is legible; complete and accurate; protected against the exchange, loss or introduction of erroneous information; and reported to Customs in a timely manner?	Choose an item.	
5.3	Are procedures in place to ensure that information received from business partners is reported accurately and timely?	Choose an item.	
5.4	Do automated systems have individually assigned accounts that require periodic password change?	Choose an item.	
5.5	Is access to the information or input/change transactions limited to need?	Choose an item.	
5.6	Are there documented IT security policies, procedures and standards?	Choose an item.	
5.7	Are employees trained in the proper IT security practices?	Choose an item.	
5.8	Is there a system in place to identify abuse of IT systems, including unauthorized access, tampering or altering of business data.	Choose an item.	
5.9	Are violators subject to appropriate disciplinary actions?	Choose an item.	

Section 5 Comments:

Section 6 – Shipping and Receiving

#	Section/Control Description	Yes, No, or N/A	Description of Procedure If you answer "Yes" or "NA" you must describe your process or why you feel the question is Not Applicable (N/A)
6.1	Are there written security procedures covering receiving and shipping operations to prevent the introduction of unauthorized or unmanifested material?	Choose an item.	
6.2	Are the shipping and receiving areas separate, with access limited to those positively identified employees who work in the area?	Choose an item.	
6.3	Are procedures in place to ensure that unauthorized and unidentified persons are challenged and prevented access to the yard, and shipping and receiving areas?	Choose an item.	
6.4	Are cars and other personal vehicles prevented from parking on the truck pad (shipping/receiving and cargo storage area)?	Choose an item.	
6.5	Do you reconcile receipt of goods to the shipping manifest and packing list and report overages, shortages, damages and other anomalies to management?	Choose an item.	
6.6	Is there a designated security representative or supervisor present during the loading or unloading of cargo?	Choose an item.	
6.7	Does the supervisor sign the paperwork indicating approval of the shipment/receipt of goods or noting discrepancies?	Choose an item.	
6.8	Are incoming/outgoing vehicles, drivers, and trailers verified and logged?	Choose an item.	
6.9	Are drivers' identities validated to their driver license photos and are the driver license numbers recorded on the log along with the vehicle license plate, and trailer numbers?	Choose an item.	
6.10	Is there a system to monitor and track the timely movement of all cargo conveyances incoming and outgoing?	Choose an item.	
6.11	Are the shipping and receiving docks and trailer/container storage yards monitored by CCTV? Is the CCTV coverage recorded?	Choose an item.	
6.11 2	Is there a procedure for detecting and reporting incorrect or missing seals, shortages and overages, damages and other anomalies?	Choose an item.	
6.13	Are there procedures for reporting cases in which unauthorized personnel, unmanifested materials or signs of tampering are discovered?	Choose an item.	
6.14	Are finished products properly marked, counted, weighed (if necessary), documented, and reported on the manifest and bills of lading?	Choose an item.	
6.15	Are empty and full containers stored securely to prevent the introduction of unmanifested and unauthorized material or theft of goods?	Choose an item.	

Section 6 Comments:

Resources: CTPAT Resource Library and Job Aids: <https://www.cbp.gov/border-security/ports-entry/cargo-security/c-tpat-customs-trade-partnership-against-terrorism/c-tpat-resource-library-and-job-aids>